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ABSTRACT

This kit reports on a survey which focused on the methods by which libraries practice online authority control to ensure that names, subjects, and uniform titles are consistently applied and maintained in bibliographic records. Questionnaires were sent to 32 selected member libraries of the Association of Research Libraries (ARL) to determine the extent to which they used automated authority control; 30 responses were received. The majority of these libraries reported that they practice both pre- and post-cataloging authority control, and the method of control that is used is largely dependent on the type of bibliographic record which is examined. Authority control procedures are usually not delegated by a person whose primary responsibility they are, but rather by a committee or a catalog maintenance unit. In addition to the questionnaire and a summary of the survey results, this kit contains: (1) job descriptions and organization charts from the universities of California at Los Angeles, Notre Dame, New Mexico, Iowa State, and Kansas, and also from Vanderbilt University and the National Library of Canada; (2) procedural documents from the universities of California at Berkeley, Iowa, Rochester, Kansas, New Mexico, and Utah, and also from Rice University and Washington University; (3) authority workforms from the universities of Kansas and New Mexico, the National Library of Canada, and Harvard College; and (4) systems reports from the universities of Cincinnati and Kansas and from Vanderbilt University. A list of eight selected readings is included. (MAB)

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Six different management institutes are offered, each geared toward preparing librarians to operate more effectively — both as individuals and as part of the library team.

BASIC LIBRARY MANAGEMENT SKILLS INSTITUTE: *The Manager*

This 3½-day institute focuses on the individual's relationship to the library organization, and to others within the organization: subordinates, peers and upper management. Through self-awareness tools and learning experiences, participants have an opportunity to reflect on their current approach to managerial and supervisory responsibilities. The institute also systematically introduces and reviews a range of concepts and techniques associated with effective management. The goal is to broaden the manager's ability to function in his or her role and to contribute to the organization as a whole.

LIBRARY ANALYTICAL SKILLS INSTITUTE

Today's libraries are much larger and more complex than those of twenty or even ten years ago. This growth has created intense competition for resources. In response, library managers recognize a need to approach organizational problems more analytically and creatively. This 3½-day institute is designed to strengthen the skills needed to observe, diagnose and take the actions required to create substantive, meaningful change in library operations and organizations. These skills are necessary for sound decision-making and planning and essential for making a case for financial support, demonstrating accountability, evaluating operations, understanding user needs or measuring user satisfaction.

CREATIVITY TO INNOVATION WORKSHOP: *Breaking the Bonds of Traditional Thinking*

This 2½-day workshop is designed to improve library effectiveness through the application of creative problem-solving strategies to library concerns. The workshop will focus on both individual and organizational aspects of creativity. Participants will develop an understanding of personal strengths and have an opportunity to build skills in using individual and group techniques in organizational problem-solving. Factors which contribute to a climate for creativity and innovation will also be studied.

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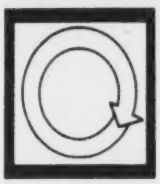

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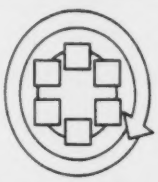

Library administrators recognize that staff development plays a crucial role in the ongoing effectiveness of individuals within the organization. Because resources are scarce, administrators need to get the most from their training dollars. This 3½-day institute is designed to provide a conceptual framework for the provision of training, as well as methods and techniques to carry out the work. With this knowledge and these skills, library staff can make better judgments about what kind of training will have a significant impact on library operations. This program can also form the basis of an inhouse training program at their home institution.

RESOURCE MANAGEMENT INSTITUTE: *Financial Skills for Librarians*

Recognizing that there are as many systems for monitoring and allocating financial resources as there are libraries, the primary goal of this institute is to help library managers make more sound resource decisions using financial tools which are already available. This 3½-day institute explores the actual and potential roles of financial management systems in improving organizational performance. The annual budget cycle will provide the context for managers to understand their contribution to the library's ability to make informed choices about the use of its resources.

Individuals interested in these programs should contact the OMS Office Manager at:
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AUTOMATED AUTHORITY CONTROL IN ARL LIBRARIES

By Stefanie A. Wittenbach, Authority Control Librarian,
General Library, The University of New Mexico.

INTRODUCTION

Authority control is defined by the *ALA Glossary* as:

> The methods by which the authoritative forms of names, subjects, uniform titles, etc. used as headings in a file of bibliographic records are consistently applied and maintained. Includes the file of authority records containing the authoritative forms with appropriate references, and for a file of machine-readable records (a database), the mechanism whereby all records can be updated automatically to maintain consistency with the authority file.

The above definition encompasses machine-readable records and the manipulation and handling of these records. As more libraries implement online catalogs, machine-readable authority records become a significant element in the authority control process. Online authority control is at the forefront of library computer technology, and many libraries are grappling with new procedures, major projects, and reorganization of workflow brought on by practicing authority control for an online, rather than a manual, catalog. Librarians are finding that machine access to bibliographic information through keyword and Boolean search capabilities is no panacea for problems in bibliographic records. In fact, "inadequacies in authority control are much more obvious in online than in manual catalogs."[1] Gone are the days when "Interfile" notecards could be used in card catalogs to bring together errors and other inconsistent forms of headings in order to fulfill the collocation function of the catalog. Due to the literal nature of computers, the collocation function is lost in online catalogs without the imposition of the consistent use of headings throughout the database and the provision for entering the database using variant forms of the headings that are the equivalents of "see" and "see also" references in the card catalog.

Recognizing the importance of authority control to the integrity and functioning of the online catalog, one can ask, "To what extent is automated authority control being used in libraries today?" Thirty-two members of the Association of Research Libraries (ARL) were surveyed asking that and related questions. Thirty responses were received and with nineteen libraries included relevant planning documents, procedures, and job descriptions. These thirty-two libraries were chosen because of their efforts in the area of automated authority control, as reported in the 1988 *OMS Automation Inventory*. Thirteen of the respondents remain in the planning stages for automated authority control and anticipate implementing the authority control module in the summer/fall of 1989, mid-1990s, or have no specified schedule for implementation.

POLICIES AND PROCEDURES

Of all responding libraries, the majority practice both pre- and post-cataloging authority control. For purposes of the survey, pre-cataloging authority control is defined as a review of authority-controlled access points before producing records. Post-cataloging authority control is defined as the detection of errors or conflicts through system checks and/or manual review. The method of authority control used is most often determined by the type of bibliographic record being examined (i.e., Library of Congress, original cataloging, or copy cataloging), the local system's ability to generate error reports, and/or the type of heading being established (name, series, subject, etc.). Subject headings on Library of Congress records are often only reviewed if they appear on locally-generated new headings lists. Names and series entries are more carefully checked because of local series treatment decisions and because of the impact of name form on call number creation.

Automation's greatest impact on authority control procedures occurs through changes in error detection procedures, the number and type of cross references being established, and the number and/or level of staff involved in authority work. In fact, a substantial reorganization of workflow often accompanies the automation of authority work, although survey responses indicate that many libraries did not have an authority control unit prior to automation (18) and have not created one as a result of automation (13). Only five libraries reported creating an authority control unit after automating.

STAFFING

In many libraries, authority control is a function of all cataloging units, so lack of an authority control unit is a reflection

[1] Doris H. Clack, "Authority Control and Linked Bibliographic Databases," *Cataloging & Classification Quarterly* 8, 3 (1988): 37.

of organizational structure rather than of the impact of automation on authority control. Few libraries report having an individual librarian with primary responsibility for authority control. Authority control procedures are commonly developed by a committee, task force, or group of administrative librarians. Training is carried out by individual supervisors. A few libraries indicate that procedures have not been fully developed or documented, and thus as one respondent points out, "instruction falls largely into the realm of oral tradition."

A number of libraries have a catalog maintenance unit within the cataloging department which has responsibility for maintaining the authority file, checking new headings lists and resolving conflict, and in three libraries, producing subject authority records. Only four libraries have a separate Catalog/Database Maintenance Department with the above duties. All other libraries report that authority control is part of the duties of each cataloger. Authority control can never be separated from the cataloging operation, but many automated tasks associated with maintenance of an authority file can best be performed by staff who are well-versed in MARC tags, particularly for authority records, and who have a thorough understanding of computer technology. Which staff will assume authority file maintenance duties will be determined by staff experience, availability of staff, organizational structure, and past practice. In libraries that have closed the card catalog, card filers are often retrained to handle inputting of authority records and other database maintenance duties. In libraries where catalogers do all authority record maintenance, the catalogers must be trained in the intricacies of the MARC format for authority records. Prior to locally automated authority control, catalogers used online authority records in a read-only capacity.

ONGOING MAINTENANCE

Implementing automated authority control involves extensive interaction with the system vendor. In some cases, libraries are able to contribute to the design of the authority control module, particularly when local systems are created. Libraries that do not have a system developed in-house are evenly divided in their survey responses on whether or not the system vendor supplied adequate documentation and training for the authority control module. Very few libraries use an outside vendor to process the machine-readable database against LC authority records for heading clean-up. In addition, ongoing changes to authority records are made by loading of LCSH update tapes and by in-house inputting of new records and corrections. Several systems are able to generate reports of new and/or conflicting headings entering the database. These reports are then used for manual updating of headings in bibliographic records and authority records. Many libraries rely on correcting problems in authority records as errors are encountered in cataloging new materials.

Libraries responding to the survey are again evenly divided on whether or not they are retrospectively converting manual authority files. Nine libraries report that they plan to convert manual authority files, and six libraries have no such plans. Many libraries qualify their responses to indicate that ongoing cataloging results in conversion of files on a record-by-record basis. Libraries that create authority records for a large number of unique headings that are not represented in the LC authority file will want to convert these records in order to provide a more complete authority file online.

ISSUES AND TRENDS

Implementing automated authority control will involve an extensive examination of past procedures and institution of new procedures, a thorough understanding of the online system's features, the downloading of records from the Library of Congress online authority file, the retrospective conversion of manual authority files, and an evaluation of staffing needs. As more and more online systems offer authority control modules, libraries will have a larger wealth of experience to draw upon in planning for automated authority control. Each librarian facing this enormous, time-consuming task will have to examine the library's unique combination of database preparation requirements and staff availability in order to prepare for a smooth transition from a manual to an automated system. In many cases, automated authority control functions will require as much, if not more, time than the manual functions necessitate. Librarians, then, must garner support for, and a commitment to, the integrity of the online catalog database from catalogers, database maintenance staff, and administrators alike. Authority control ensures that integrity and is thus the cornerstone of the online catalog.

The SPEC Kit on *Automated Authority Control in ARL Libraries* (#156, July/August 1989) contains job descriptions and organization charts, planning documents, procedures, authority workforms, system reports, and a selected reading list.

* * *

This flyer/kit was prepared as part of the OMS Collaborative Research Writing Program.

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SPEC SURVEY

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SPEC SURVEY ON AUTHORITY CONTROL

OMS

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NAME _____

TITLE _____

LIBRARY/INSTITUTION _____

PHONE (AC) _____

GENERAL PROCEDURES

1. Is the library using the online system's authority control module?
   18 YES 13 NO

   If NO, are there plans to implement the module?
   10 YES About when? _____
   3 NO Why not? _____

2. Does the library practice pre- or post-cataloging authority control or combination?
   6 Pre-cataloging (review of authority-controlled access points before producing records)
   1 Post-cataloging (system or manual error or conflict detection)
   23 Combination of both
   3 Other (explain) _____

3. What changes in authority control have occurred as a result of automation?
   22 Change in error detection procedures
   20 Change in number and type of cross references established
   15 Change in staff (number and/or level) doing the work
   4 Use of an outside vendor for authority control
   6 Other (explain) _____

STAFFING

4. Is authority control in your library a function of the cataloging department (unit within the dept.) or of the database maintenance department?
   20 Cataloging dept. 4 Database/catalog maintenance dept.
   6 Other (explain) _____

5. Did the library have an authority control unit prior to automation?
   12 YES. If YES, does it still exist? 11 YES 1 NO
   18 NO. If NO, has one been created? 5 YES 13 NO

6. How many technical services staff (FTE) are involved in authority control -- indicate FTE for each. (Attach relevant job descriptions.)
   _____ Librarians _____ Paraprofessionals
   _____ Clerical _____ Students [Totals not figured]
   _____ Other (specify) _____
   _____ Approximate number of total staff in technical services.

7. We are interested in the development of and training for authority control procedures. For example, how were procedures developed for authority control? Who is responsible for their development? Who provides authority control training? Provide written procedures, workforms, and other descriptive documents, or discuss briefly on the back.

1/14/89 \ 32/lbs

VENDOR INTERACTION

8. In your opinion, did the OPAC vendor supply adequate documentation and training for the authority control module? 6 YES 5 NO
Comments:

in-house system - 10
N/A - 9

9. Did a vendor process the library's machine-readable records for authority clean-up?
6 YES 18 NO N/A - 6

If YES, which vendor?
4 Blackwell North America
2 UTLAS, Inc.
____ Other (specify) _____

In your opinion, were the vendor's services satisfactory?
4 YES 2 NO

Comments:

ONGOING ISSUES

11. Are manual authority files being converted inhouse?
7 YES 5 NO 9 Plan to convert 6 No plans

12. Is the library maintaining the card catalog? 15 YES 15 NO
If YES, to what extent? _____

For how long? _____

13. What mechanism is being used (or planned) for notification and updating of changes to authority records?
1 Vendor updates 22 Inhouse updating
3 Combination of both 1 Other (explain)

N/A: 3

ADDITIONAL COMMENTS are welcome below or on back of survey.

ENCLOSE READILY-AVAILABLE DOCUMENTS including written procedures, workforms, job descriptions, planning studies, committee reports, evaluations, progress reports, and so forth that describe the library's recent work with authority control.

SEND DOCUMENTS AND SURVEY BY FEBRUARY 17, 1989 TO: Stefanie Wittenbach, General Library, University of New Mexico, Albuquerque, NM 87131. Phone (505) 277-7155 OR (505) 277-7144.

JOB DESCRIPTIONS AND ORGANIZATION CHARTS

Statement of Responsibilities

NAME:

POSITION TITLE; Head, Authority Section, Cataloging Division,
Technical Services Department

The Technical Services Department is the largest of the UCLA Library system's processing centers, acquiring and preparing materials for the University Research Library collection and for library units serving the social sciences, humanities and fine arts. Cataloging, the process by which books and other materials are made known and available to library users, is the responsibility of the Cataloging Division of the Technical Services Department. The Authority Section monitors the establishment, and is responsible for the input and maintenance of headings (personal, corporate, conference, uniform title, series, geographic and topical subject) in ORION It is also responsible for the arrangement of, the additions to, and corrections to the card catalog, shelf list and the manual and online subject authority files of the University Research Library. The Authority Section provides leadership for UCLA authority control in conjunction with the Advisory Committee on Cataloging Policy It advises and assists catalogers in formulating appropriate authority records and researches particularly complex headings, both current and retrospective. It analyzes, revises and reorganizes files requiring changes, with special attention to changes attendant upon the implementation of the Anglo-American Cataloguing Rules, 2nd edition. It also evaluates and contributes to the authority records provided by the Library of Congress to promote national coordination of bibliographic control through the National Coordinated Cataloging Operations (NACO). As part of the UCLA Retrospective Conversion Projects, the Authority Section is responsible for integrating the headings from the retrospective bibliographic records added to the ORION database.

As Head of the Authority Section is responsible for and participates in carrying out the functions of the Section, as stated above, with particular emphasis on the authorization of both new authority records and changes to headings on bibliographic records. She directs the work of .5 professional librarians, 3 career library assistants, and student assistants in this work. She directs the work of 1.5 library assistants and student assistants engaged in Retrospective Conversion Project activities. She shares with the other librarian in the Section, and the Subject Authority Consultant Librarian, responsibility for answering questions, solving problems and reconciling conflicts, and the research these involve. She serves as resource person in matters of cataloging and of cataloging procedures at UCLA, both for the Technical Services Department and for other units, as well as outside libraries. She develops procedures for the handling of authority records, etc. in the Cataloging Division and provides training sessions as necessary. She serves as central point of receipt of conflicts found in authorities or name headings by any campus

unit for use or establishment of headings in on-line bibliographic or authority records, and either personally reconciles conflicts or delegates the problem solving as appropriate.

As NACO Coordinator for UCLA is responsible for monitoring NACO records created by UCLA catalogers and transmitting them to the Library of Congress via the online national Linked System Project (LSP), receiving return communications, and relaying the necessary information back to the appropriate person or Department, and seeing that UCLA records are consistent. She conducts regular meetings with all UCLA NACO contributors, and communicates regularly with LC through phone calls and electronic mail.

She also serves at the University Research Library Catalog Information Services.

January 1989

STATEMENT OF RESPONSIBILITIES

NAME:

POSITION TITLE: Authority Control Librarian, Authority Section
Cataloging Division, Technical Services Department
University Research Library

The Technical Services Department is the largest of the UCLA Library system's processing centers, acquiring and preparing materials for the University Research Library collection and for library units serving the social sciences, humanities and fine arts. Cataloging, the process by which books and other materials are made known and available to library users, is the responsibility of the Cataloging Division of the Technical Services Department. The Authority Section monitors the establishment, and is responsible for the input and maintenance of headings (personal, corporate, conference, uniform title, series, geographic and topical subject) in ORION. It is also responsible for the arrangement of, the additions to, and corrections to the card catalog, shelf list and the manual and online subject authority files of the University Research Library. The Authority Section provides leadership for UCLA authority control in conjunction with the Advisory Committee on Cataloging Policy. It advises and assists catalogers in formulating appropriate authority records and researches particularly complex headings, both current and retrospective. It analyzes, revises and reorganizes files requiring changes with special attention to changes attendant upon the implementation of the Anglo-American Cataloguing Rules, 2nd edition. It also evaluates and contributes to the authority records provided by the Library of Congress to promote national coordination of bibliographic control through the National Coordinated Cataloging Operations (NACO). As part of the UCLA retrospective conversion projects, the Authority Section is responsible for integrating the headings from the retrospective bibliographic records added to the ORION database.

As a name authority control librarian assists the Head of the Section in analyzing and editing all new and many retrospective authority records for personal and corporate names, series and uniform titles submitted for input into the ORION authority files. She researches and establishes new headings and monitors and maintains name and series headings and their cross reference networks by editing and updating online, and occasionally manual, files, or more usually,by assigning such work to other Section staff. She directs the solving of problems identified in the process of authority work, or referred to the Section by members of the Technical Services Department or other Departments of the Library. Within this work her current principal assignment is series authorities. She also analyzes all change requests submitted chiefly by other members of the Cataloging Division for name, uniform title and series authorities changes and database conflicts.

shares responsibility for selecting and, to a lesser extent supervising the Library Assistants in the Section other than those working with subject headings.

In the absence of the Head of the Section, takes over some of the duties of the Head, representing the Section at meetings, etc.

UNIVERSITY OF NOTRE DAME LIBRARIES

POSITION: Head, Catalog and Database Maintenance Section (Library Faculty)

RESPONSIBILITIES:

Responsible under the Head of the Cataloging Department for the supervision of the Catalog and Database Maintenance Section, including maintenance of the bibliographic database, the public catalog, the shelflist and the authority files; responsible for the distribution of bibliographic records to all catalogs of the University Libraries.

Responsible for the accuracy of all headings added to the catalogs of the University of Notre Dame; advises original catalogers and other staff members on name and series authority questions as necessary.

Responsible together with the Head of Cataloging and the Heads of Original Cataloging and Copy Cataloging for development of department policies.

Responsible for the original cataloging of materials in various formats as time permits.

Responsible for maintaining professional awareness in the field of library science, particularly in relation to the responsibilities stated above.

DUTIES:

Supervises all filing in the public catalogs, the shelflist and the authority files.

Trains and supervises the work of library staff assigned to catalog maintenance.

Reconciles conflicts in entries filed in the public catalogs, authority files and online database and prepares authority records as necessitated by the resolution.

Assigns and/or revises the following duties, assisting in their completion when necessary:

Resolution of Problem Notification reports requested by library personnel outside of the section.

Updating of items and records for serials cancellations and cessations.

Typing of OCLC card corrections.

Reconciliation of duplicate call number conflicts.

Performs annual evaluation of the work performance of the Catalog and Database Maintenance staff and assists in the evaluation of the filers.

Head, Catalog and Database Maintenance Section

Develops, implements and improves Catalog and Database Maintenance procedures.

Catalogs materials in various formats as time permits.

Performs other related duties as assigned.

QUALIFICATIONS:

Graduate degree in library science from an A.L.A. accredited school. A knowledge of Library of Congress classification schedules, subject headings, AACR2, MARC formats and OCLC procedures is required, as well as one year of professional cataloging experience in an academic library. Some supervisory experience and a working knowledge of at least one foreign language is also required. Familiarity with authority work desirable.

UNIVERSITY OF NOTRE DAME LIBRARIES

POSITION: Technical Assistant for Bibliographic Record Corrections

CLASSIFICATION: Library Technical Assistant (Library Staff)

RESPONSIBILITIES:

Responsible for coordinating the corrections made to the bibliographic database, the public catalog, and the authority files. Responsible for training, supervising, and revising the work of persons involved in the above duties.

Performs the duties of this position under the direction of the Head of Catalog and Database Maintenance Section. Consults with the Assistant Head of Catalog and Database Maintenance. Works with members of the Cataloging Department and with library personnel outside the Cataloging Department.

STATEMENT OF DUTIES:

Reconciles conflicts in entries filed in the public catalogs, authority files and online database and prepares authority records as necessitated by the resolution.

Assigns and/or revises the following duties, assisting in their completion when necessary.

Typing of OCLC and pre-OCLC catalog card corrections.

Correction slip preparation.

Resolution of Problem Notification reports requested by library personnel outside of the section.

Reconciliation of duplicate call number conflicts.

Assists with filing of the shelf list, public catalog, and authority files.

Assists in developing sectional procedures and reorganizing workflow in preparation for automation.

Trains section staff.

Assists Section Head in an annual performance evaluation of section staff.

Performs other related duties as assigned.

POSITION DESCRIPTION FORMAT

UNIVERSITY OF NOTRE DAME
PERSONNEL DEPARTMENT

Title: Catalog Maintenance Assistant

Department: Catalog Department, Memorial Library

Classification: Library Assistant (Library Staff)

FLSA: Date:12/86

General Summary

Responsible for the manual and automated support of records in the Library's bibliographic database.

Principal Duties and Responsiblities

Searches the name and subject headings appearing on the new headings lists or problem notification forms in the following sources, as appropriate, to determine correct form of heading:

- -The ND online authority files
- -The ND online catalog
- -The OCLC online authority file
- -The OCLC bibliographic file
- -The ND manual authority files
- -The Library of Congress subject headings list
- -The National Union Catalogs

Makes online corrections to bibliographic records for name headings and subject headings.

Creates authority records in the ND online authority files or transfers authority records in from OCLC.

Resolves inventory problems, correcting call numbers on items and making necessary corrections in the online catalog.

Deletes records from the ND online catalog for lost or withdrawn books.

Assists in retrospective conversion projects as assigned.

Performs other related duties as assigned.

QUALIFICATIONS:

Must be high school graduate; some college desirable. Ability to handle diversified duties and keen interest in detail is required. Ability to recognize and correct errors, with a high degree of accuracy required. Good organizational skills required, with ability to work independently and under occasional pressure. Supervisory experience is necessary; at least one year of library experience is required. Must be able to work a flexible schedule.

July 1985

Position Code 2.31.18

UNIVERSITY OF NOTRE DAME LIBRARIES

POSITION: Series Co-ordinator

CLASSIFICATION: Library Technical Assistant (Library Staff)

RESPONSIBILITIES:

Responsible for the coordination of series authority work in the Copy Cataloging Section.

Reports to the Head of the Copy Cataloging Section.

DUTIES:

Coordinates the processing of monographic series.

Supervises the establishment of monographic series new to Notre Dame.

Trains copy catalogers in series establishment.

Assists in the development and implemention of written procedures for copy catalogers doing series establishment.

Is available for general trouble shooting and spot questions relating to series work, from copy catalogers and other members of the department.

Works at the OCLC and NOTIS terminals on a variety of assignments, including non-routine processing and processing of problem materials.

Assists in the annual evaluation of the copy catalogers.

Maintains and reports statistics for series work.

Is the contact person for receiving reports of problems occurring with Cataloging Dept. typewriters and for the mounted paper cutter, and for requesting serivce calls for them.

Assists with retrospective conversion projects as assigned.

Performs other related duties as assigned.

Working Relationships

Reports to the Head of Catalog and Database Maintenance.

Education Required

Must be high school graduate; some college desirable.

Knowledge, Skills and Abilities Required

Good typing skills (50 wpm) and strong organizational skills required. Experience in the catalog department of a library and OCLC and/or online catalog experience helpful. Work requires accuracy, attention to detail, and the ability to work independently. Must be able to work a flexible schedule.

Working Conditions

Large open area; relatively noisy. No hazards other than those connected with 4-6 hours daily use of computer terminal.

This statement accurately describes the work performed in one position in the above department.

_____	_____
Date	Section Head
_____	_____
Date	Department Head

QUALIFICATIONS:

Must be high school graduate; college preferable. At least one to two years experience in a cataloging department required. Knowledge of the MARC formats for books is necessary. Bibliographical skills, and knowledge of foreign languages are preferred. Ability to work independently and strong organizational skills are necessary. High level of accuracy is essential to all aspects of the position. Must be able to work a flexible schedule.

A/sercoord.job rev. TL/2-15-88

The University of New Mexico

GENERAL LIBRARY
Albuquerque, NM 87131
Telephone 505: 277-4241

FACULTY POSITION

POSITION TITLE:	Authority Control Librarian
TYPE:	Permanent, 12 month, full-time, $22,000 +.
RESPONSIBLE TO:	Head, Bibliographic Database Management Department.
EDUCATION:	Master's degree from an ALA accredited program.
DUTIES:	Responsible for maintaining authority records (manual and online) including resolving conflicts in public catalogs. Coordinates revision of cataloging for the online system from several cataloging units and is responsible for quality control for all current cataloging including developing and writing documentation and regular communication of cataloging and authority procedures. Participates in implementation process of online catalog and planning for future automation needs. Oversees online catalog maintenance activities including correction of errors in bibliographic and holdings records; elimination of duplicate records; and processing of routine adds, withdrawals, and transfers. Responsible for editing and authority work connected with retrospective conversion of serial records (including analytics) in OCLC maintaining AACR2 and successive entry cataloging policies. Supervises 5.5 FTE in Catalog Records and File Maintenance sections. Also responsible for training and revising the the work of paraprofessionals in the retrospective conversion of serials.
QUALIFICATIONS:	Recent experience in cataloging of monographs and serials. Must have knowledge and experience with OCLC or RLIN and in depth knowledge of AACR2. Demonstrated supervisory experience preferred. Knowledge of at least one modern Europeon language, preferably Spanish, desirable.
FACULTY RESPONSIBILITIES:	Must be able to meet University requirements for promotion and tenure, including research, publication and service.
LEVEL OF APPOINTMENT:	Assistant Professor
APPLICATIONS:	Submit resume (including names and addresses of three references) by December 1, 1986 to: Claudia Dean, General Library Personnel Office, University of New Mexico, Albuquerque, NM 87131. Recruitment will remain open until position is filled.

UNM is an Affirmative Action/Equal Employment Opportunity Employer.

Figure 3:

Responsibilities of Each Staff Member in the ACORN Authority Unit

Authority Control Coordinator

- Coordinates workflow and training for unit and trains new librarians in on-line authorities.
- Responsible for policies and procedures for names, subjects, book-set and uniform-title headings.
- Disseminates information and memos about workflow and procedures to colleagues in Monographs and Serials Services.
- Liaison with Medical and Law Processing Units.
- Handles global changes.
- Coordinates series activities with Series Authority Coordinator.

Series Authority Coordinator

- Responsible for series access on ACORN.
- Coordinates new developments in series with Authority Control Coordinator.
- Oversees conversion of manual Serial Record to ACORN.
- Series Authority liaison with Medical and Law Processing Units.

Library Assistant IIIs

- Transfer and overlay names and subjects from OCLC-LC authority file to ACORN for work generated by original catalogers.
- Code and validate authority records properly.
- Work with new subject and name-heading lists.
- Input original headings into ACORN authority file.
- Perform manual bibliographic changes.
- Cross check 4XXs and 5XXs.
- Work with batch printouts generated by global techniques.

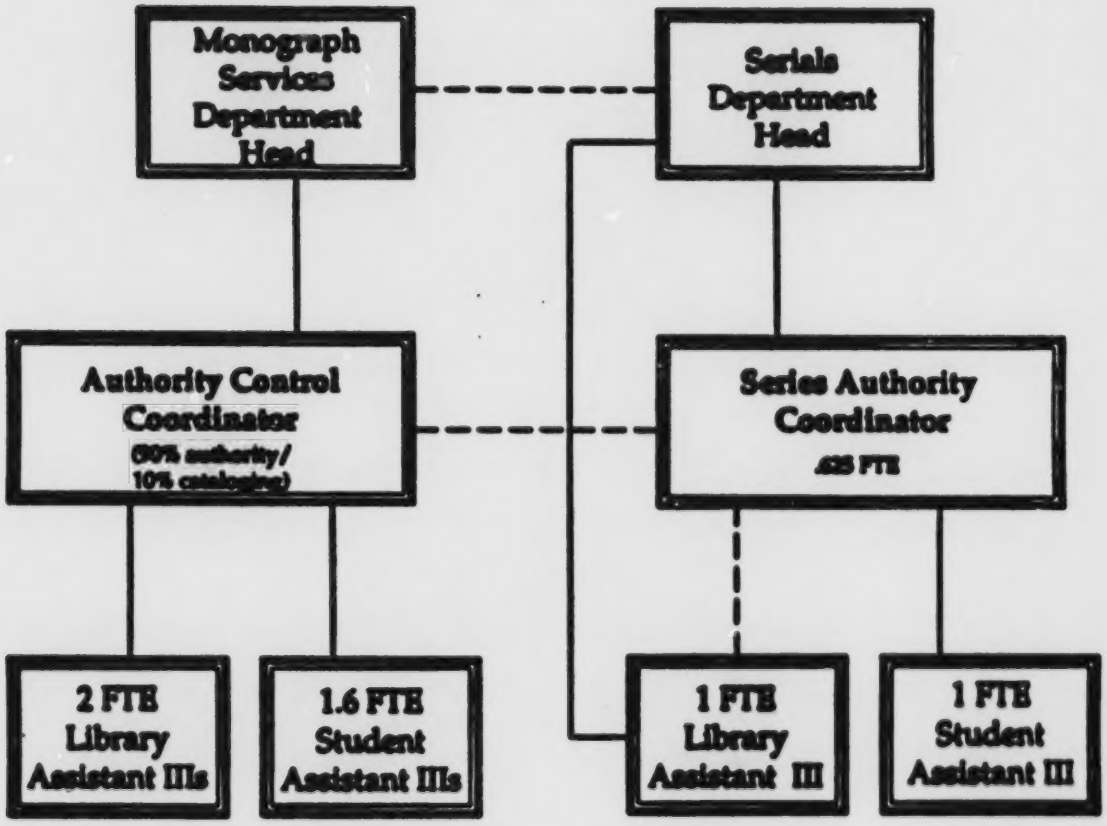
Student Assistants

- Perform manual bibliographic changes.
- Check 4XXs on subject-heading authorities.
- Work with new subject heading lists.

Figure 2:

The ACORN Authority Unit

(as of July 1988)



TASK: I Decides on special handling for the various problems encountered with access points entered into the library's catalog, screening/reviewing local authority records, verification of subject heading entries, and related operations; establishes correct entries and references between entries for names, series, uniform titles, and topical subject headings in order to maintain consistency in the card and online catalogs and to direct patrons to correct entry.

(HOW)

- Screens all conflicts/discrepancies reported in the library's card and online catalogs.
- Identifies the problem and devises search strategies in order to provide access to all relevant information.
- Resolves entry conflicts and errors and establishes entries by consulting online name, series, and uniform title authority records, LC subject authority records, OCLC bibliographic records, SCHOLAR online catalog, National Union Catalog, LC Name Headings on microfiche, microfiche LC dictionary catalog, microfiche LC shelf list, and related publications, and local authority records, to verify correct entry forms.
- When sources disagree as to correct entry, chooses form to be used locally, based on cataloging rules, local cataloging policies, etc.
- Initiates entry changes, deletes or adds entries as necessary.
- Evaluates entries for necessary references.
- Identifies and deletes from catalogs all obsolete references relating to changed headings, and deletes the tracings for these references.
- Initiates local authority records as necessary.
- Resolves duplicate entries by determining if there is a duplicate heading, call number, record, or book; depending on the exact nature of duplicate problems, may delete entries, re-tag entries, delete record from online catalog, pull card sets, retrace references, and/or retrieve physical item and forward for recataloging.
- Develops/maintains unit procedures for handling duplicates.

PERFORMANCE STANDARDS

- Consistently and accurately identifies entry conflicts, errors in entry format, typographical and spelling errors, and duplicate entries.
- Chooses correct form of entries.
- Identifies all necessary references.
- Conveys respect for and interest in questions from catalogers and other staff in the main Library as well as in special locations.
- Resolves problems within one month.

SKILLS, KNOWLEDGES AND ABILITIES

Functional:

- Ability to spot inconsistencies.
- Abiltiy to solve problems logically.
- Ability to work with details.
- Ability to make decisions.
- Ability to work independently.
- Ability to work with complex procedures.
- Ability to communicate verbally and in writing.
- Reading knowledge of at least one (preferably two or more) modern European language.

Specific:

- Thorough understanding of entry conflicts -- what they are and what is necessary to resolve them.

TASK: I (Continued)

PERFORMANCE STANDARDS

SKILLS, KNOWLEDGES AND ABILITIES

- Abiltity to determine appropriate search strategy.
- Thorough knowledge of format, content, and indexing/ filing of local card and online bibliographic records, shelflists, authority records, references, and serials linkage cards, both past and present.
- Thorough knowledge of pertinent past and current cataloging codes, especially rules for choice and form of entry, and local interpretation of codes.
- Ability to operate microcomputer with OCLC software, plus printer.
- Knowledge of retrieval techniques and strategies for online authority records.
- Thorough knowledge of format and content of Library of Congress name, series, uniform title, and subject auth ity records, both past and present.
- Knowledge of retrieval techniques and strategies for OCLC bibliographic records.
- Knowledge of format and content of OCLC bibliographic records, both past and present.
- Extensive knowledge of format and content of Library c Congress and National Union Catalog microfiche and print publications, both past and present.
- Detailed knowledge of the past history of individual LC topical subject headings and subdivisions -- major changes and cancellations, and the headings which repl them.
- Thorough knowledge of LC and ISU referencing policies and procedures, both past and present, for name, serie uniform title, and subject entries.
- Knowledge of local policies and procedures, both past present, relating to authority work for name, series, uniform title, and subject entries.
- Detailed knowledge of past and current practices in recording a title's tracings and subsequent changes to tracings in the library's catalogs.

TASK: I (Continued)

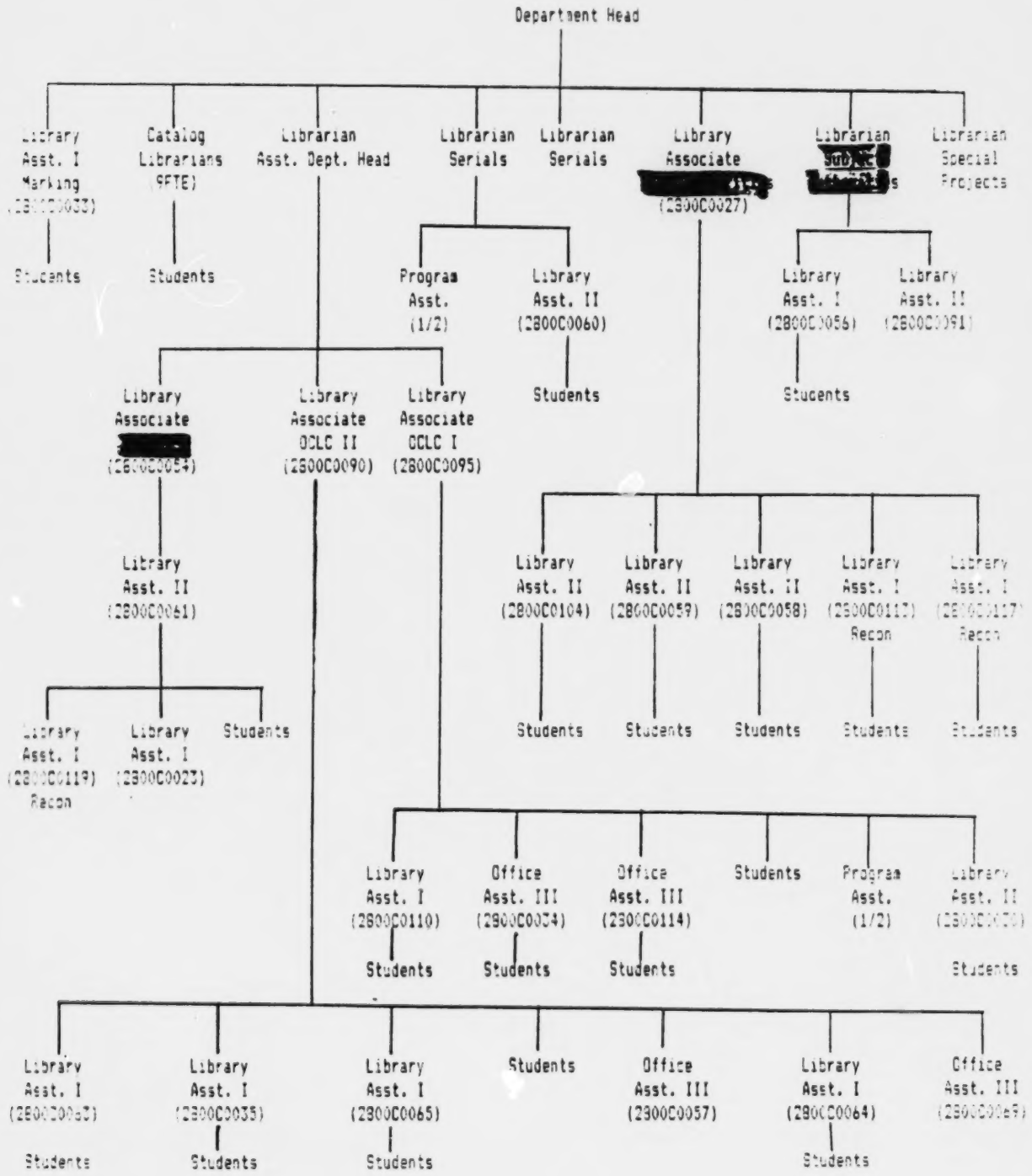
PERFORMANCE STANDARDS

SKILLS, KNOWLEDGES AND ABILITIES

- Thorough knowledge of Card Preparation Unit's policies and procedures for changing bibliographic and authority records, both past and present.
- Knowledge of OCLC editing techniques and common mistakes made in editing.
- Knowledge of past and current procedures for producing catalog card sets, and common mistakes made in card production.
- Knowledge of past and current local policies and procedures for withdrawals, transfers, recat/reclasses, added copies, added volumes, analytics, and retrospecti conversion.
- Knowledge of local policies and procedures for processi material.

UNIVERSITY OF KANSAS LIBRARIES
CATALOGING DEPARTMENT
ORGANIZATION CHART

Attachment II
rev Jan 1989



DA 28172
Rev. 1-86

State of Kansas—Department of Administration
DIVISION OF PERSONNEL SERVICES

Position Description

Read each heading carefully before proceeding. Make statements simple, brief, and complete. Be certain the form is signed. Send the original to the Division of Personnel Services.

CHECK ONE: ☐ NEW POSITION ☒ EXISTING POSITION

Agency Number

Position Number

PART I—Items 1 through 12 to be completed by department head or personnel office.

1. Agency Name: University of Kansas
9. Position Number: 2800C0027
10. Budget Program Number:
2. Employee Name (leave blank if position vacant):
11. Present Class Title (if existing position): Library Associate (Name Authorities ~~Supervisor~~)
3. Division: Academic Affairs
12. Proposed Class Title:
4. Section: Libraries
5. Unit: Cataloging-Authorities Unit
6. Location (address where employee works) City: Lawrence County: Douglas
7. (~~circle~~ appropriate time) (Full time) Part time (Perm) Temp. Inter. %
8. Regular hours of work: (circle appropriate time) FROM: 8:00 (AM) PM TO: 5:00 AM (PM)

For Use By Personnel Office

13. Allocation
14. Effective Date
15. By / Approved
16. Audit Date: By: Date: By:
17. Position Reviews Date: Date: Date: Date:

PART II—To be completed by department head, personnel office or supervisor of the position

18. If this is a request to reallocate a position, briefly describe the reorganization, reassignment of work, new function added by law or other factors which changed the duties and responsibilities of the position.

19. Who is the supervisor of this position? (Who assigns work, gives directions, answers questions and is directly in charge.)

Name	Title	Position Number
	Cataloging Department Head	Unclassified

Who evaluates the work of an incumbent in this position?

Name	Title	Position Number
same	Librarian III	

20. a) How much latitude is allowed employee in completing the work? b) What kinds of instructions, methods and guidelines are given to the employee in this position to help do the work? c) State how and in what detail assignments are made.

In all of the work described in Section 21, the employee, after thorough training, is expected to work independently in compliance with departmental policies and procedures. Only exceptions to standard practice or problems of an unusual nature are referred to the employee's supervisor. The employee is initially provided with extensive training which includes verbal instructions and written documentation. Specialized bibliographic tools and manuals, as listed in the attachment, are consulted on a regular basis. Additional training is provided as new cataloging instructions or procedures are implemented. Workflow varies from heavy to very heavy with a variety of tasks in need of constant attention. The employee in this position is responsible for completing assignments in a timely manner, but has the latitude to structure the workday in the most efficient way he or she chooses in order to complete assigned responsibilities. The employee makes decisions within the Authorities Unit regarding staffing of the unit, procedures and workflow and independently solves difficult bibliographic problems involving authority headings, but consults and informs the supervisor regularly and meets with other unit heads to insure uniform personnel standards throughout the department.

20. Continued:
Documentation and source consulted:

ALA Filing Rules (editions for manual and machine filing)
Anglo-American Cataloging Rules, 2nd ed. (and occasionally earlier editions)
Atlases, gazetteers, and geographic dictionaries

Cataloging Department Memos

Foreign language dictionaries

Library of Congress Shelflist
Library of Congress Cataloging Service Bulletins
Library of Congress Classification Schedules
Library of Congress CONSER Editing Guide
Library of Congress Name Authority File
Library of Congress Rule Interpretations
Library of Congress Subject Manual
Library of Congress Subject Heading List and supporting documents

National Union Catalog
New Serials Titles

OCLC
OCLC Bibliographic Input Standards
OCLC MARC Formats (for books and serials)
OCLC Online Systems Manual

Union List of Serials
University of Kansas Author/Title, Subject and Shelflist Catalogs
University of Kansas Automated Serials System (UKASE)
University of Kansas Online Record Management System
University of Kansas Microfiche Catalog

And assorted reference sources in English and foreign languages in the Reference Department.

21. Continued:

4) Demonstrates the online system and interprets unit procedures for library staff from outside the department and visitors from outside the library. Along with other department unit heads helps establish departmental policies and participates in planning of workflow and personnel assignments of the department as a whole.

22. a. If work involves leadership, supervision, or management responsibilities, check the statement which best describes the position.
( ) Lead worker assigns, trains, schedules, oversees, or reviews work of others.
(X) Plans, staffs, evaluates, and directs work of employees of a work unit.
( ) Delegates authority to carry out work of a unit to subordinate supervisors or managers.

b. List the names, class titles, and position numbers of all persons who are supervised directly by employee on this position.

Title	Position Number

See attached organization chart.

23. Which statement best describes the results of error in action or decision of this employee?
(X) ~~Minimal property damage, minor injury~~, minor disruption of the flow of work.
(X) Moderate loss of time, ~~injury, damage, or adverse impact on health and welfare of others~~.
( ) Major program failure, major property loss, or serious injury or incapacitation.
( ) Loss of life, disruption of operations of a major agency.
Please give examples.

Most of the consequences of action in this position relate to the accuracy and usefulness of information provided in the library catalogs. If data is not presented accurately, users may be unable to retrieve desired materials and those materials may have to be re-ordered at an additional expense. In addition all cataloging staff in the department and in other departments rely on the accuracy of the information in the online authority file in order to make the decisions necessary in the performance of their work. The quality of decisions regarding supervision and staffing directly influences the morale and efficiency of the unit.

24. For what purpose, with whom and how frequently are contacts made with the public, other employees or officials?

As with most positions in the Cataloging Department the interactions with other employees center around those within the Department. However, the employee also has frequent contact with staff from other library units in order to answer their questions regarding the information in the library's catalogs and to explain the use of the online system. Librarians from other libraries often come for demonstrations of our online system.

25. What hazards, risks or discomforts exist on the job or in the work environment?

Hazards or discomforts associated with the job include fluctuating work temperatures and strain and stress which accompanies frequent terminal usage (e.g. headaches, backaches, eye strain, fatigue, etc.). Inadequate lighting and dust also pose a problem for many staff members.

26. List machines or equipment used regularly in the work of this position. Indicate the frequency with which they are used

OCLC terminals/printers — daily
IBM and Telex terminals — daily
Zenith 158 or similar microcomputer — weekly
Volkswriter and Wordstar software and locally developed "PC transfer" software — weekly
Microfiche readers — daily
Microfiche Reader/Printer — weekly
Typewriters (manual/electric) — daily
Photocopy Machine — daily

PART III—To be completed by the department head or personnel office

27. List in the spaces below the minimum amounts of education and experience which you believe to be necessary for an employee to begin employment in this position.

Education—General

As specified by the State. Prefer successful supervisory experience, substantial college coursework, and knowledge of one or more Western European languages. Prefer cataloging experience or coursework. Prefer familiarity with Anglo-American Cataloging Rules, 2nd ed., OCLC, KU's Online Record Management System, and a variety of cataloging tools. Prefer ability to communicate with a large group of people.

Licenses, certificates and registrations

Special knowledge, skills and abilities

Experience—Length in years and kind

28. SPECIAL QUALIFICATIONS

State any additional qualifications for this position that are necessary either as a physical requirement of an incumbent on the job, a necessary special requirement, a bona fide occupational qualification (BFOQ) or other requirement that does not contradict the education and experience statement on the class specification. A special requirement must be listed here in order to obtain selective certification.

Signature of Employee — 11-16-87 Date

Signature of Personnel Official — Date

Approved:

Signature of Supervisor — 11-16-87 Date

Signature of Agency Head or Appointing Authority — Date

DA 281-2
Rev. 1-86

State of Kansas—Department of Administration
DIVISION OF PERSONNEL SERVICES

Position Description

Read each heading carefully before proceeding. Make statements simple, brief, and complete. Be certain the form is signed. Send the original to the Division of Personnel Services.

CHECK ONE: ☐ NEW POSITION ☒ EXISTING POSITION

Agency Number

Position Number

PART I—Items 1 through 12 to be completed by department head or personnel office.

1. Agency Name: University of Kansas	9. Position Number: 2800 C 0056/	10. Budget Program Number:
2. Employee Name (leave blank if position vacant)	11. Present Class Title (if existing position): Library Assistant I	
3. Division: Academic Affairs	12. Proposed Class Title	
4. Section: Libraries	For Use By Personnel Office — 13. Allocation	
5. Unit: Cataloging Department	14. Effective Date	
6. Location (address where employee works) City: Lawrence County: Douglas	15. By / Approved	
7. (circle appropriate time) (Full time) Part time; (Perm.) Temp.; Inter. %	16. Audit Date: By: Date: By:	
8. Regular hours of work: (circle appropriate time) FROM: 8:00 (AM)/PM TO: 5:00 AM/(PM)	17. Position Reviews Date: Date: Date: Date:	

PART II—To be completed by department head, personnel office or supervisor of the position

18. If this is a request to reallocate a position, briefly describe the reorganization, reassignment of work, new function added by law or other factors which changed the duties and responsibilities of the position.

19. Who is the supervisor of this position? (Who assigns work, gives directions, answers questions and is directly in charge.)

Name	Title	Position Number
	Librarian II	Unclassified

Who evaluates the work of an incumbent in this position?

Name	Title	Position Number
Same		

20. a) How much latitude is allowed employee in completing the work? b) What kinds of instructions, methods and guidelines are given to the employee in this position to help do the work? c) State how and in what detail assignments are made.

In all of the work described in No. 21, the employee, after thorough training, is expected to work independently in compliance with departmental policies and procedures. Only exceptions to standard practice or problems of an unusual nature are referred to the supervisor.

The employee is initially provided with extensive training which includes verbal instructions and written documentation. Specialized bibliographic tools and manuals, as listed in the attachment, are consulted as necessary. Of these tools, the employee must be most familiar with Library of Congress Subject Headings and supporting documentation, KU' Online Records Management System (OLAF), and the Library of Congress Subject Cataloging Manual. Additional training is provided as new cataloging instructions or procedures are implemented.

(continued on attachment)

21. Describe the work of this position using this page or one additional page only. (Use the following format for describing job duties:)

What is the action being done (use an action verb); to whom or what is the action directed (object of action); why is the action being done (be brief); how is the action being done (be brief). For each task state: Who reviews it? How often? What is it reviewed for?

Number Each Task and Indicate Percent of Time	
	The Authorities Unit of the Cataloging Department within the University of Kansas Libraries consists of 1 FTE professional and 6 FTE paraprofessionals. The Unit is responsible for maintaining the accuracy and consistency of headings being used in the card, microfiche, and eventually online catalogs, and for the evaluation and generation of references and notes appearing on Cataloging Dept. authority records and in the catalogs. Headings are examined for accuracy and consistency at the time they are entered into the KU online authority file, or at the time catalog cards are filed. Inconsistencies are resolved as a result of continuous editing through the KU Records Management System or through OCLC, the national cataloging database. References and notes are generated consistently and act to aid the library user in finding the chosen heading, related headings, or to determine filing sequence. The public catalogs represent the holdings of the library system and are available to scholars from the campus, state, and the nation. Use by scholars from other nations is not unusual. Within the Unit, this position's work assignment consists of the following activities:
1) 55%	EVALUATION AND PROCESSING OF TOPICAL SUBJECT HEADINGS. Verifies and validates headings which are new to the KU online authority file. Identifies and routes conflicts. Interprets and edits authority records established both by KU Libraries and Library of Congress, using a variety of bibliographic tools (e.g., Library of Congress Subject Headings, Library of Congress Cataloging Service Bulletins, Library of Congress Subject Cataloging Manual, and Library of Congress Weekly Lists). Processes headings in the hierarchical relationship following guidelines specified by the Library of Congress and by KU policy. Works with authority and bibliographic records in English and a variety of foreign languages. Reports statistics as appropriate.
2) 10%	PROOFREADING OF TOPICAL SUBJECT AUTHORITY RECORDS Examines online authority records for accuracy and completeness of data. Corrects typographical and coding errors and obsolete policy decisions. Adds information as necessary. Identifies and routes conflicts. Reports statistics as appropriate.
3) 10%	INPUT AND MODIFICATION OF ONLINE AUTHORITY AND BIBLIOGRAPHIC RECORDS Enters headings, references and notes into the local online authority file from workforms and printoffs generated by catalogers and paraprofessionals. Makes modifications to bibliographic records as necessary. Reports statistics as appropriate.
4) 10%	FILING INTO LIBRARY CATALOGS Files cards into the subject, author/title, or shelflist sections of the Library's catalogs as needed. Files in accordance with KU Libraries, Library of Congress, and ALA filing rules. Files records in a variety of foreign languages and with content that requires certain review. Detects and reports errors and discrepancies in the file. Reports statistics as appropriate.
5) 10%	SUPERVISION AND TRAINING OF STUDENTS Trains and evaluates students performing the following tasks: searching OCLC name authority file or LCSH microfiche, searching for and entering data in KU's online authority file, and other duties related to maintenance of the online authority file.
6) 5%	STATISTICAL REPORTING Prepares statistical reports recording Authorities Unit output and workflow.

22. a. If work involves leadership, supervisory, or management responsibilities, check the statement which best describes the position.

(X) Lead worker assigns, trains, schedules, oversees, or reviews work of others.

( ) Plans, staffs, evaluates, and directs work of employees of a work unit.

( ) Delegates authority to carry out work of a unit to subordinate supervisors or managers.

b. List the names, class titles, and position numbers of all persons who are supervised directly by employee on this position.

Title	Position Number
1-2 part-time student assistants	

23. Which statement best describes the results of error in action or decision of this employee?

(X) Minimal property damage, minor injury, (minor disruption of the flow of work.)

(X) Moderate loss of time, injury, damage, or adverse impact on health and welfare of others.

( ) Major program failure, major property loss, or serious injury or incapacitation.

( ) Loss of life, disruption of operations of a major agency.

Please give examples.

Most of the consequences of action in this position impact on the accuracy and usefulness of information provided in the library catalogs. However, some disruption may occur in the workflow if appropriate sources are not consulted when gathering informtion for others to review or if students are not properly trained.

24. For what purpose, with whom and how frequently are contacts made with the public, other employees or officials?

The employee consults daily with other members of the Authorities Unit to resolve authority problems in the online system and card catalog. Other Cataloging Dept. staff are consulted on a slightly less frequent basis. Occasionally, interaction occurs with library patrons when the employee works at the public card catalogs.

25. What hazards, risks or discomforts exist on the job or in the work environment?

Hazards or discomforts associated with the job include fluctuating work temperatures and strain and stress which accompany frequent terminal usage (e.g. headaches, backaches, eye strain, fatigue, etc.). Inadequate lighting and dust also pose a problem for may staff members.

26. List machines or equipment used regularly in the work of this position. Indicate the frequency with which they are used.

OCLC terminals/printers — daily
IBM terminals — daily
Microfiche readers — daily
Microfiche reader/printer — daily
Adding machine — monthly
IBM Selectric typewriter — sporadically
Savin photocopier — sporadically

PART III—To be completed by the department head or personnel office

27. List in the spaces below the minimum amounts of education and experience which you believe to be necessary for an employee to begin employment in this position.

Education—General

Education or Training—Special or professional

Licenses, certificates and registrations

Special knowledge, skills and abilities

Experience—Length in years and kind

28. SPECIAL QUALIFICATIONS

State any additional qualifications for this position that are necessary either as a physical requirement of an incumbent on the job, a necessary special requirement, a bona fide occupational qualification (BFOQ) or other requirement that does not contradict the education and experience statement on the class specification. A special requirement must be listed here in order to obtain selective certification.

PREFER: Reading knowledge of one or more major European languages; accurate typing skills demonstrated initiative; demonstrated ability to prioritize work and function independently knowledge of and experience with LCSH, AACR2, KU Online Records Management System, and K Libraries' filing rules; previous supervisory experience.

Signature of Employee	5/29/87 Date	Signature of Personnel Official	Date
		Approved:	
Signature of Supervisor	5/29/87 Date	Signature of Agency Head or Appointing Authority	Date

Workflow varies from heavy to very heavy. The employee in this position is responsible for completing assignments in a timely manner, but has the latitude to structure the workday in the most efficient way he or she chooses in order to complete assigned responsibilities.

Specialized bibliographic tools with which the employee must be familiar:

American Library Association Rules for Filing Catalog Cards
American Library Association Filing Rules (Machine-Readable)
Anglo-American Cataloging Rules (AACR) with updates
Anglo-American Cataloging Rules, 2nd ed. (AACR2), and supporting study materials
Atlases, gazetteers, and geographic dictionaries
Authorities Unit files and written procedures

Cataloging Department Memos

Encyclopedias and other miscelleneous reference works

Filing Rules for the Dictionary Catalogs of the Library of Congress Foreign languages dictionaries.

Library of Congress Cataloging Service Bulletins
Library of Congress Classification Schedules
Library of Congress Name Authority File
Library of Congress Rule interpretations (AACR2)
Library of Congress Shelflist
Library of Congress Subject Cataloging Manual
Library of Congress Subject Heading List and supporting documentation
(Guide to Subdivision Practice, LCSH Supplements, LC Weekly Lists)

National Union Catalogs

OCLC database and supporting documentation

University of Kansas Author/Title and Subject Catalogs
University of Kansas Automated Serials System (UKASE)
University of Kansas OnLine Records Management System (OLAF)
University of Kansas shelflist, name authority file, and series decision file

% of time

Classification is used for the logical arrangement on the shelves, in subject order, of the items in the National Library collection. The shelf list is the only inventory of that part of the National Library collection which has been classified according to the LC classification schedules.

The cataloguer creates and updates authoritative national source records for name, uniform title, and name/uniform title authority headings by: 30 %

3.1 Determining which headings must be established to provide access to bibliographic record.

3.2 Conducting research, particularly for the establishment of headings of Canadian interest.

3.3 Judging the need for various cross-reference in light of the existing authority files, and by establishing them according to the rules and internal guidelines.

3.4 Creating the necessary source notes, explanatory notes, and history notes to enhance the record and to provide explanation of the form of heading(s), cross-references, and linkages to other accepted headings.

3.5 Clarifying the interpretation of certain rules or policies with the Section Head so that these may become part of internal policy of the Cataloguing Branch and be included in the Cataloguing manual of the Branch.

3.6 Following established procedures and policies as given in the internal manuals, including internal rule interpretations.

3.7 Analysing and following accepted standards such as the various editions of AACR and RRCA in order to determine the form of heading and the form of an equivalent heading if required according to the bilingual cataloguing policies of the Branch.

3.8 Searching headings, when appropriate, by consulting the LC name authority fiche, in order to fulfill the obligations of the NLC/LC names agreement.

3.9 Searching headings, when appropriate, by consulting the British Library name Authorities Australian National Library name authorities products in order to fulfill the obligations of the ABACUS agreement.

3.10 Applying the ALA/CLA/LC and ISO tables of transliteration when required by policy.

3.11 Consulting with colleagues within the Section and from other sections in the Branch on the form of an authority heading.

3.12 Consulting and reviewing with CIP agents regarding the establishment of authority headings.

3.13 Assisting the Public Sevices Branch by providing access to the collection through authorities headings and cross-references, established in the Cataloguing Branch.

.../2C

% of time

3.14 Providing to other libraries, through online systems and bibliographic utilities, and through COM products and authority headings in Canadiana indices, consistent controlled access to the Canadiana collection, both current and retrospective.

3.15 Maintaining the authority records in all products by following established data administration procedures.

These records are used to maintain control over and provide access to the National Library collection, particularly those records which appear in the national bibliography. Authority records are also distributed and used by a national and international audience through their availability in the form of products: NL COM, MRDS authority tape service, online database systems such as DOBIS, and through distribution to many libraries by other bibliographic utilities such as UTLAS. Authority headings also appear on CIP book entries and in issues of Forthcoming books.

4. Provides information as a resource person within the Branch and to the larger library community by: 15 %

4.1 Acting in an advisory role for colleages within the immediate work area and other areas through participation on committees and special projects, in work groups and at section meetings.

4.2 Reviewing CIP records from agent libraries and suggesting changes following established procedures and policies.

4.3 Participating in information sessions sponsored by the Cataloguing Branch.

4.4 Interpreting the source records and other automated and manual records representing the National Library collection to the user community.

4.5 Providing detailed information regarding holdings to Circulation and Public Sevices through the ongoing maintenance of the shelf list of inventory.

5. Performs other duties such as reviewing the work of junior professional and support staff when required, training them in the policies and Procedures of the Cataloguing Branch. 5 %

PROCEDURAL DOCUMENTS

Tech Service Notes alert all library staff to new developments. These issues dealt with automated authority control at Berkeley and presented information formality for public service & non-cataloging staff

TECH SERVICE NOTES

7 January 1986

Coming Attraction: AUTHORITY CONTROL AT BERKELEY, A SERIES.

The next issue of TECH SERVICES NOTES will bring you the first in a series of informal lectures on the subject of authority control, prompted in part by the fact that the Library Systems Office this month begins work to get authority records online. The series will address, in language as non-technical as we can make it without prejudice to fact, such questions as:

--What is authority control, and if it's so great why don't we have more of it?

--What headings on GLADIS are now under authority control, and what kind of authority control?

--What about headings in Catalog 2?

--What about references to and from pre-AACR 2 headings?

--What is meant by "authority work," how many kinds are there, and who does it?

--How will GLADIS assist authority control?

--What is an authority record, where do we get them and who sees them?

--How do authority records get updated?

--What is NACO (Name Authorities Cooperative Project) and how does it affect authority control at Berkeley?

--What has LSP (Linked Systems Project) got to do with authority control?

--Where do OCLC, RLN and the MELVYL catalog come in?

If there are questions on the subject you have always wanted to ask and that do not seem to be covered above, or that arise in your mind as the series proceeds, feel free to address them at any time to the undersigned, and we'll try to get the answer into print.

Charles Hamilton
Authorities Editor
Catalog Dept.

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TECH SERVICE NOTES
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January 28, 1986

AUTHORITY CONTROL AT BERKELEY, no. 1 of a series.

What then is meant by "authority control"?

Think of it as a method of ensuring that the catalog user interested in some particular entity as access point—be it an author, a work, a series of works, a topic, or whatever—is able with a minimum of effort to find all catalog records relevant to it. The method usually adopted is to collect all the records in question under a single uniform heading and lead the user to it from any variants under which a person might be expected to look. Or, if for any reason the entity has had to be represented under more than one form of heading, by leading the user from one to another. And by seeing to it that a heading retains its original form when it is used as a building block to form part of a more complex heading.

Prior to AACR 2 (Anglo-American Cataloguing Rules, 2nd edition) the "one entity, one heading" principle was adhered to quite strictly. When AACR 2 came into force in 1981, however, the principle was relaxed a bit, so that two or more headings, related by references, were occasionally allowed to represent the same entity. For example, in the case of a corporate body which changes its name, or an author who uses different pseudonyms for different literary identities and is not known predominantly by any one of them. By the same token, a single heading was allowed to represent two or more persons with the same name, if there was no satisfactory way of differentiating them.

But doesn't one hear it claimed that with an online catalog there are so many ways of getting at whatever it is one is looking for--what with keyword searching, Boolean logic, etc.—that authority control is an outmoded luxury? Yes, and it comes as good news to those who have had to find ways of paying for the luxury. But if you buy this theory you are compelled to ignore two important considerations. One is that if you rely on keyword access and Boolean search capability to turn up all the variant forms under which a name may be entered, you can never know whether you have found them all. The other is that you must decide for yourself whether the forms you turn up represent the same entity or not. In other words the responsibility for authority control is shifted from the cataloger to the catalog user. And ironically, although we did not plan for it, this is almost the situation in which we now find ourselves in Catalog 2 and GLADIS. Without the benefits of online keyword access and Boolean logic, what's more!

In our next installment we will look at the various forces, collectively beyond our control, that have combined to produce the present unfortunate state of authority control at Berkeley.

Charles Hamilton
Authorities Editor
Catalog Dept.

TECH SERVICE NOTES

February 18, 1982

AUTHORITY CONTROL AT BERKELEY, no. 2 of a series.

The old Author-Title Catalog honored the "one entity, one heading" principle of authority control we described in our last installment quite faithfully on the whole, the only exception of any importance being that a work issued under various titles could be found under a single heading only if it happened to be by a "voluminous author" or fell into the category of "anonymous classic." The principle was already in considerable disarray in the Subject Catalog, however, when the card catalogs were closed at the end of 1980, for there was no effective means of keeping subject subdivisions consistent, even had there been the manpower to do the work. For another basic principle of authority control is: as long as the catalog is open the job is never done, and every new record tests the fabric.

Catalog 2 and GLADIS are another story. Attempts since 1980 to bring these data bases under fuller authority control have so far been frustrated by many countervailing forces, the strongest being:

(1) The adoption of AACR 2, which overnight invalidated existing headings on a massive scale.
(2) The sudden transformation of a machine-readable, glorified in-process file, not subject to authority control, into Catalog 2.
(3) An enormous increase in the number of machine-readable catalog records available for current cataloging, derived from various sources and often created under conflicting standards.
(4) Retrospective conversion projects resulting in the wholesale loading, without authority work, of records created under older rules.
(5) A moratorium on "cataloging against the catalog," i.e. checking the catalog before adding a record to it to be sure the headings going in do not conflict with anything already there. Conflicts were so widespread in the new catalog that systematic checking had to be deferred and has so far not been resumed.
(6) A considerable lapse of time between the use of a heading and its appearance in authorized form in the authority fiche. The interval allows duplicates to creep in and conflicts to proliferate.
(7) The adoption of "post-cataloging" authority work procedures, which necessarily involve certain constraints and delays. Work is done only on headings that have entered GLADIS and found no match there. It is done after the book in question has gone to its shelving location, so there is no assurance that an appropriate reference has not been overlooked. And no work gets done on a non-AACR 2 heading that matches a non-AACR 2 heading already in GLADIS.
(8) A decline in the number of original catalogers, trained to establish headings to full standard.

So much for the bad news. In our next installment we look at the good news, some of which is very good indeed!

Charles Hamilton
Authorities Editor
Catalog Dept.

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TECH SERVICE NOTES

March 18, 1986

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AUTHORITY CONTROL AT BERKELEY, no. 3 of a series.

Hard as it sometimes is to believe, not all movement on the authority control front since the closing of Catalog 1 has been retrograde. Real advances have been made in several sectors:

—We have an offline data base containing over 212,000 name authority records, begun from scratch in late 1980. Included are personal names, corporate and conference names, names of political jurisdictions, and uniform titles, including those of series. Most are AACR 2 in form.

—LC name and series authority records have become available to us through RLIN and OCLC, and through dial-up access to LC's MUMS system. We have been limited thus far to "search only" access and must rely on printouts.

—The marvellous GLADIS Maintenance System has made possible the instant update of any heading, in however many bibliographic records it occurs. What was once a chore has become almost a recreation.

—Through NACO—the LC Name Authorities Cooperative Project—we have contributed several thousand authority records of our own creation to the LC authority file.

The best is yet to come:

—Later this year, or early in 1987, the authorities data base will be brought online and married to the "interactive" GLADIS Maintenance System. At that point:

—Updates to authority records will be fully synchronized with updates to bibliographic records, instead of lagging weeks behind as they now do.

—Staff inputting records directly to GLADIS will be able to do authority look-ups as part of record creation. This should help to bring TCP and storage records, as well as permanent brief cataloging, under much fuller authority control.

—It will be obvious to technical services staff which GLADIS headings are under authority control and which are not. If the latter were to be flagged in the GLADIS Access System, this would enable public service staff to advise technical services staff on maintenance priorities.

—Because online authority records will be in full MARC format, it will be possible to include much more information. For example, special characters such as the digraph OE and Polish slashed L can be input to authorities for the first time. "See also" references can be coded to distinguish between earlier and later names of a corporate body, and so on.

Finally, we hope to be able to "download" LC authority records from OCLC into GLADIS and be spared the rekeying which has been such a labor-intensive task, resulting too often in the downgrading of the original record.

Charles Hamilton
Authorities Editor

AUTHORITY CONTROL AT BERKELEY, no. 4 of a series.

What is an authority record, then, and what use is made of it?

The MARC format for authority records, implemented by LC for names (but not subjects) in the late '70s, brought online the kind of information LC had been recording for decades on cards in its Official Catalog. The information in question consists largely of a record of decisions made about headings.

A full MARC authority record contains, to begin with, the form of the heading to be used in the catalog, together with a brief citation of usage as found in the work in hand. It is on this usage, and on usage in any other reference sources cited, that the heading and references to it are based. In addition it contains a tracing of any such references, be they "see" references, "see also" references, or that special variety known as a "linking reference" made from the pre-AACR 2 form of the heading. It may also contain notes to guide the cataloger in applying the heading correctly. It will contain a code indicating the rules under which the heading was established, a code identifying the type of heading (personal name, corporate name, etc.), a code telling whether references have been "evaluated" for conformity with AACR 2, codes controlling their display, and so on. If the record is for a series, other codes will indicate whether the series is being analyzed, whether it is classified as a set or as separates, and whether added entries are made for it in bibliographic records for monographs; the place of publication and publisher will be shown, and the numbering pattern to be used in added entries for the series.

The Berkeley authorities format, hastily cobbled together in the fall of 1980 for production of the CUAF fiche, is a considerably simplified version of the LC format. Several pieces of information are unique to it, however, among them codes controlling distribution of cross references to Cat 2: BOOKS (base set) and Cat 2: SERIALS, and a code that tells whether any diacritics or special characters are missing because unkeyable on the Datapoint. Before being loaded in GLADIS all CUAF records will be upgraded by program to LC MARC format.

Once in GLADIS authority records can be made available not only to catalogers but to anyone who would find them of interest, in a form tailored to the general user. Technical services staff using the Maintenance System will of course need a full MARC display. Public service staff on the other hand will want to see only certain items of information, clearly labelled in plain English. These the Online Catalog Design Group will try to identify.

How can access to authority records benefit public service staff? Well, by clarifying relationships between headings and the entities they represent an authority record can facilitate the search for a bibliographic item or items. By listing the variant forms of entry from which "see" references have been made an authority record may suggest to the reference librarian yet untried access points in published bibliographies and reference sources. Or it may confirm that a valuable reference has not yet been made and prompt a request to the cataloger to make it. It can even provide a death date that cataloging rules did not permit the cataloger to include in the heading.

Charles Hamilton

TECH SERVICE NOTES 18 December 1986

AUTHORITY CONTROL AT BERKELEY, no. 5 of a series.

Catalogers returning on January 5 from the long Christmas and New Year holiday will find that Santa has brought them a long longed-for gift, the ability to create and maintain authority records on GLADIS. Although the debut of the Interim GLADIS Authority System marks an important stage in the development of online authority control at Berkeley, its effects may go largely unnoticed by the majority of users of the GLADIS Access System until the almost 250,000 authority records in the CU Authority File (CUAF) on fiche have been converted to full MARC format and tape-loaded into GLADIS, probably later next year. The CUAF fiche dated December 17, 1986, will be the final issue of that product, and should be retained until its contents are loaded into GLADIS, it is hoped in no more than a few months. At that time there will be a dramatic increase in the number of "see" references visible in GLADIS List Displays. In the meanwhile only those "see" references keyed directly into GLADIS after January 5 will appear in List Displays. There they will be marked with a lower-case "x."

During the Interim System references will be "transparent," as in the MELVYL Catalog. That is to say that selection of a heading marked as a reference will lead directly to a listing of any associated titles, or if there is only one, to a display of the bibliographic record. Only when the full Authority System is up, later in Phase I of the development of the GLADIS Catalog, will special reference display screens be presented, and only then will "see also" references be displayed. The Online Catalog Design Group will meanwhile be developing an Access System format for display of authority records to public service staff. This format will probably resemble the Long Display format for bibliographic records.

Beginning January 5, catalogers will be creating and editing new authority records online in full MARC format. In addition they will be keying essential information from LC authority records into GLADIS, until satisfactory arrangements with a vendor to supply these records on tape have been worked out. Until the CUAF database has been converted and tape-loaded into GLADIS, authorized staff in processing units will also be rekeying into GLADIS any CUAF record for a heading that must for any reason be changed.

After January 5 the present Heading Edit authorization will permit editing only of those GLADIS headings which are not represented by full authority records. A new authorization will be assigned to those persons designated by heads of technical processing units as qualified to create and edit full authority records and to upgrade existing headings to full status.

Charles Hamilton
Authorities Editor

January 29, 1987

TECH SERVICE NOTES

AUTHORITY CONTROL AT BERKELEY, NO. 6 OF A SERIES

On January 5 the GLADIS Interim Online Authority System came up on schedule, and selected catalogers began to input authority records for newly established headings. "See" references traced in these records now appear in list displays in Experimental Mode. ("See also" references will not be displayed until the full authority system is up.) Because the almost 250,000 machine-readable records created before the end of 1986 in the CUAF--the authority file on fiche--have not yet been loaded into GLADIS, most references seen online will for a while yet be to less frequently searched names. CUAF headings will not be rekeyed individually to GLADIS unless the established heading has to be changed, or there is a special urgency about getting references to a particular name online.

As things now stand in Experimental Mode, if your search matches only a reference, and if there is only one bibliographic record under the heading to which it refers, that record is what you will see on pressing RETURN. If more than one bibliographic record is attached to the heading, you will see a list of titles. If you have truncated your search, either deliberately or unawares, and it matches several headings and/or references, you will see a list of headings in which references are interfiled, but not identified as references.

A few authority records for familiar names have been rekeyed into GLADIS from the CUAF to illustrate how the interim system works. Try typing the search "fi pn clemens samuel langhorne" in Experimental Mode, for example. Or say that you want to find books about the President of Libya, you can't remember how to spell his name exactly, you don't know whether any part of it is a surname, so you try a truncated search beginning "fi pn muam". You will get a screen that includes several references, unmarked as such, which if selected lead to records under "Qaddafi, Muammar". Or you search "fi cn United States. Library of Congress," the pre-AACR 2 heading for LC, and get a heading list beginning with an unmarked reference from that heading, followed by various subdivisions of the name which are <u>not</u> references but headings awaiting maintenance to remove "United States." These examples will suggest a few of the conditions under which "see" references operate.

The Online Catalog Design Group will be considering various options for the display of references. Should references be identified as such in list displays, and if so what is the best way of doing it? Should the searcher be shown the heading referred to before being shown the bibliographic records attached to it, and given a chance to decline it? Should the referral message be integrated into the list display or shown on an intervening screen? Should it be worded like the simple "see" reference of the card catalog, or should it be a bit more explanatory? Watch this space and the OCDG Newsletter for further details.

Charles Hamilton
Authorities Editor

AUTHORITY FILE COMMUNICATION GUIDELINES

I. Purpose of these guidelines:

A. To describe the communication mechanism between the processing units which supports authority activities.

B. To specify potential authority situations and suggest appropriate actions.

C. To summarize which situations require communication between the two processing units.

Note: For more information on **how** authority records are created and how maintenance is to be performed, see related documents:
"Guidelines for Creation of OASIS Authority Records"
"Guidelines for Maintenance of OASIS Authority Records"

II. Introduction: The Authority File contains records designated by three processing unit identifiers:

A. UL authority records: originate from University Library authority processing and represent headings used in UL bib records only.

B. LL authority records: originate from Law Library authority processing and represent headings used in LL bib records only.

C. UI authority records: originate from either library and represent headings used in both UL and LL bib records, i.e., the shared file.

III. Communication Mechanism to Support Authority Activities:

A. The Authority Unit of the Cataloging Department at the Main Library, and the Cataloging Department at the Law Library are designated processing units for the OASIS Authority File.

B. David Aamodt, authority coordinator at the University of Iowa Libraries, and Karen Nobbs, authority coordinator at the Law Library, will be in direct contact whenever there is a need for consultation.

C. If there is a conflict between David Aamodt and Karen Nobbs that they cannot solve, they should present the problem to Tanja Lorkovic, Head of Cataloging Department at Main Library, and Caitlin Robinson, Head of Technical Services at the Law Library. Tanja and Caitlin should try to find a solution.

D. For conflicts that involve software and indexing problems, as well as missing or system generated duplicate records, Karen Nobbs and David Aamodt should contact Mary Monson, OASIS Data Base Manager.

E. To communicate proposed changes in authority records, an Authority Record Change Form has been developed. It will be sent, when appropriate, to the authority coordinator at the other processing unit, accompanied by a printout of the affected authority record. The form may also be used by library staff to suggest changes to authority records.

IV. Authority Record Maintenance:

A. Changes to authority records which **do not** require consultation with the Authority Unit at the other library:

1. Deleting an authority record in one's own processing unit.

2. Correcting the form of heading within an authority record in one's own processing unit.

3. Adding/changing fixed field codes or variable field notes or references to an authority record in one's own processing or the shared processing unit, if the other library's bib records are unaffected.

4. Adding an original authority record, if the other library's bib records are unaffected.

B. Changes to authority records which **do** require consultation with the Authority Unit at other library:

1. Deleting an authority record in the shared processing unit.

2. Correcting the form of heading within an authority record in the shared processing unit.

3. Adding/changing fixed field codes or variable field notes or references to an authority record in one's own processing or the shared processing unit, if the other library's bibliographic records **are** affected.

4. Adding an original authority record, if the other library's bibliographic records **are** affected.

Staff at the unit initiating the change will usually perform the change to the authority record.

2-7-89

AUTHORITY CONTROL TASK FORCE
FINAL REPORT
October 13, 1987

DEFINITION

According to the A. L. A. Glossary authority control is:

> The methods by which the authoritative forms of names, subjects, uniform titles, etc., used as headings in a file of bibliographic records are consistently applied and maintained. Includes the file of authority records containing the authoritative forms with appropriate references and, for a file of machine-readable records (a database), the mechanism whereby all records can be updated automatically to maintain consistency with the authority file.

BACKGROUND

When the AACR2 cataloging code was introduced, all libraries with large card catalogs were forced to make decisions about how they would handle the multitude of changes in the forms of headings used in their catalogs. Many institutions, including the River Campus Libraries and Miner Library used extensive cross-references to direct the patron to varying forms of name or made interfile references to cope with minor changes in the form of name rather than erasing cards or reproducing cards using the AACR2 form. The Sibley Library closed its catalog and created an add-on AACR2 catalog. We were already beginning to look forward to a time when we would be able to make authority changes automatically in an online catalog. As automation became a real possibility and we began to convert our catalog records into machine-readable form, we once again made the assumption that these records, with many different forms of headings, would be "cleaned up" in the future in an online environment. We operated under this assumption in order to make a large retrospective conversion project economically feasible. We have now reached a point where the problems created by these past decisions must be resolved. The most efficient solution is to have an outside vendor perform both machine and manual cleanup of our database and supply authority records. The Authority Control Task Force was charged with making recommendations to the Geac Policy Board about how we should proceed with this project.

METHODOLOGY

The Authority Control Task Force began by reviewing its charge and developing a list of tasks to be completed. We then reviewed the Geac system possibilities, probabilities, and limitations for implementing authority control, which included familiarizing ourselves with the Geac implementation schedule as detailed in our latest contract.

We defined the University of Rochester authority control needs, estimating the size of the database, the number of headings to be treated, and the probable number of hits and no-hits. We then discussed at length what we wanted a vendor to do for us. Based upon the criteria for authority control we drew up a comparison chart for the three vendors who made presentations on their authority control processing last spring. The Task Force recommends using BNA for authority control processing.

We developed two scenarios for implementing authority control, listing the pros and cons and probable costs for each. The scenarios and recommendations were reviewed with members of CPCC and OPAC. This report summarizes our findings and reports our recommendations to the Geac Policy Board.

AUTHORITY CONTROL ON THE GEAC 9000

Geac authority control programs allow for either the manual input of authority records or the loading of externally produced authority files. These programs require either the input or loading of an authority record followed by the linking of this authority record to one or more bibliographic records. The programs were originally designed to support the Bibliotheque Nationale's input of their own authority records with the linking process an integral part of online authority creation. These programs are more highly developed than the programs for loading external records.

The authority loader currently will load externally produced authority records but the software required to link the authority records to the bibliographic records has not been completely designed or written. Because of the tremendous costs of manual input of authority records, we have assumed we will load externally produced authority records. We have also assumed the software required to link these records will be available within the next two years.

CURRENT STATUS OF THE UNIVERSITY OF ROCHESTER ONLINE CATALOG

The University of Rochester's Online Catalog is the libraries' first attempt at creating a union catalog and it contains at least partial holdings of Rush Rhees Library and its branch libraries, Miner Medical Library, the Sibley Music Library and the Memorial Art Gallery Library, each of which serves a very different clientele. Since cataloging activities are performed in three separate cataloging units, with no coordination prior to 1984, the catalog contains inconsistencies resulting from local practices and the application of two distinctly different cataloging codes over the last decade.

All of the libraries have engaged in some retrospective conversion activity. These efforts have been streamlined to increase production levels and keep costs to a minimum. Most retrocon policies and procedures were developed with the assumption that authority control would, at some later time, help clean-up

resulting problems. One such example is the Rush Rhees decision to accept form of name as it appeared on the shelflist card without further checking. Some of the most noticeable problems however, and the ones which affect patron acceptance, are the typographical errors which are primarily the result of the production oriented retrospective conversion activities.

The advent of a new cataloging code in 1981, which differed significantly from the previous one, has contributed countless inconsistencies to the online catalog. Card corrections and cross references in the card catalogs have aided patrons, but the huge unlinked split files in the online catalog often yield misleading results. Further confusion has been caused by the simultaneous use of two unlinked subject analysis systems -- Library of Congress and MeSH, which often assign different terms to the same subject.

This is only a brief outline of the problems and inconsistencies which exist in the University of Rochester Online Union Catalog, and hopefully, it serves to make a case for a comprehensive authority control program.

RECOMMENDATIONS

The Authority Control Task Force recognizes the significant advantages to be obtained by implementation of its Scenario A which includes vendor cleanup of the entire OPAC database as well as creation of authority files and linking of authority records and bibliographic records. Those advantages are detailed in Appendix 4 of this report. The Task Force also recognizes the very short time in which we would have to obtain approval and commitment of funding for Scenario A if we were to meet the schedule in our contract and the risks inherent in pursuing a course of action that has not yet been successfully implemented in any Geac site. In veiw of these considerations, the Task Force recommends Scenario B as the more realistic implementation path for the University of Rochester Libraries.

Scenario B will obtain authority records for our OPAC and yet provide the flexibility of adding those records in whatever sequence and at whatever intervals we wish. In Scenario B all database cleanup, though, will have to be performed manually by library staff. We will lose the advantage of having cleanup performed quickly and economically by a vendor. We suggest that database cleanup be given high priority and that it be considered a natural and necessary continuation of our retrospective conversion projects. Such a project will require a staff of one FTE professional and one FTE Library Assistant III who would be dedicated to doing database cleanup for the three libraries. Without the additional staff we cannot attempt to do a project of this scope and size. Yet cleanup must be done if the OPAC is ever to truly replace the card catalogs.

Scenario B is the more expensive of the two in the long term, but less expensive in terms of initial investment. Scenario B also has the advantage of having the support of Geac staff. It is feasible to do and can be done in time to meet the implementation schedule in our current contract.

Recognizing the special needs for authority control for music, we recommend that provisional authority records for all music materials (scores and recordings) be created as part of the initial authority file load. We suggest that it be based on material type (format) and that those records involved be stripped off onto a separate tape when they are sent for vendor processing. Therefore, when the authority records are loaded, provisional records could be created for only those records on the tape which lack a corresponding LC authority record.

AUTHORITY CONTROL OPTIONS

SCENARIO A

This procedure would have a vendor do clean-up on the entire database and create authority records for all types of headings. The entire database would be reloaded, authority files would be loaded and links would be created between the two. Library staff would be responsible for the manual cleanup work and resolving conflicts that could not be resolved by vendor machine and manual processing.

PROS

A "cleaned-up database" would greatly enhance the quality and therefore acceptance by staff and patrons of the University of Rochester Online Public Access Catalog. (Many of the highly visible errors would be removed)

Hit rate for authorities would be higher after vendor clean-up.

Having the vendor do both machine and manual clean-up would be cheaper, faster and more efficient than having library staff do it.

This procedure would require fewer staff hours to work with less paper when doing the inhouse clean-up which will be required when the vendor returns our database.

CONS

To date, no Geac site has successfully loaded cleaned-up bibliographic records.

Having to reload the entire database may mean that we cannot meet the implementation schedule outlined in our Geac contract. A four to six week delay has been estimated.

A large upfront cost to pay for vendor clean-up, in addition to the charge for authorities.

Scenario A requires a longer lead time than Scenario B. Therefore, approval for financing of this project would be needed by the end of 1987.

SCENARIO B

This scenario would have the vendor create authority records for all types of headings. The authorities would be loaded one stage at a time and the linkages made before moving on to another section. Library staff would do all manual clean-up.

PROS

Geac says they can load authority records.

Implementation schedule would not be delayed.

There would be no additional maintenance fees on the 8000 unit.

Start-up costs would be more reasonable than scenario A since clean-up is not included.

This method is more flexible than Scenario A and could fit easily into the implementation schedule.

CONS

There are errors and inconsistencies in the database because we have been unable to do any major clean-up projects inhouse and are unlikely to be able to do any in the near future. These errors and inconsistencies have a negative impact on patrons and staff.

This procedure would not take advantage of vendor machine and manual processing to clean-up our bibliographic records.

There would be a lower hit rate because minor discrepancies will not be cleaned-up to aid in the matching process.

This procedure would produce an excessive number of exception reports (lots of paper) that would need to be reviewed as part of the manual review process.

Inhouse clean-up would require staffing for a longer period of time.

Inhouse clean-up would cost significantly more than vendor clean-up.

AUTHORITY CONTROL COST ESTIMATES

Initial Authority Cleanup

A	88-89	89-90	90-91	91-92	92-93	93-94	Totals
Vendor	99,000	0	0	0	0	0	99,000
Equipment*	0	60,000	0	0	0	0	60,000
Staff	0	45,600	47,000	48,900	50,800	52,900	245,200
Totals	99,000	105,600	47,000	48,900	50,800	52,900	404,200

Note: Under scenario A staff costs would continue three years beyond 1993-94

B							
Vendor	42,750	0	0	0	0	0	42,750
Equipment*	0	60,000	0	0	0	0	60,000
Staff	0	45,600	47,000	48,900	50,800	52,900	245,200
Totals	42,750	105,600	47,000	48,900	50,800	52,900	347,950

Note: Under scenario B staff costs would continue for six years beyond 1993-94

*Equipment=disk drives at $15,000 each.

Starting in 1990-91 ongoing authority costs include a vendor charge of $15,000 per year and an additional disk drive every other year.

AUTHORITY CONTROL TASK FORCE ASSUMPTIONS

1. The bibliographic file is expected to include some 900,000 bibliographic records at the time initial authority control processing takes place.

2. The database is expected to continue to grow at a rate of approximately 100,000 bibliographic records annually. (120,000 were added last year).

3. Blackwell's North America is assumed to be the vendor for authority control processing.

4. Scenario B (see Authority Control Options) assumes that authority control processing can begin at any time. Based on statistics from another large library, a database of approximately 900,000 records would have 400,000 names (personal, corporate and conference) for which there would be no corresponding authority record; approximately 150,000 subject headings would not have a corresponding authority record. Therefore, an estimated 550,000 headings would need to be manually reviewed for typographical errors and content. It is also assumed that some percentage of these headings will be single occurrences and will not require any changes.

5. Scenario A (see Authority Control Options) assumes that funding is committed by the end of calendar 1987. Based on the same estimates above, it is expected that manual and machine clean-up contracted for with the vendor would reduce the number of headings requiring review by some 20% or 80,000. Subject headings requiring review would be reduced by approximately 50% or 75,000 headings. Under Scenario A, an estimated 395,000 headings would remain for review by library staff. It is assumed that some percentage of these headings will be single occurrences and will not require any changes.

6. Manual inhouse authority clean-up will be limited by the number of maintenance transactions which can be carried out during one year; 50,000 transactions is the estimated limit the system will permit and still allow for incoming bibliographic records to be added to the system.

7. The staff configuration estimated to carry out the review of 50,000 headings annually is 1 FTE Authority Control Librarian and 1 FTE Library Assistant III. This staff would perform retrospective authority work on headings from all libraries.

8. Ongoing authority work (i.e. to new bibliographic records) would be absorbed in each of the libraries by existing staffs.

9. Geac has indicated that the linking procedure (the program for this is not yet written) on the 9000 will make use of identification numbers in the authority records which would be derived from the bibliographic record and include relevant tag numbers for the corresponding heading. The identification numbers would be either the Geac Record Number (GRSN) or the OCLC number. BNA does not provide this service at the present time. However, it is our assumption that they will provide this service by the time we are ready to have our file processed.

10. It is assumed that the vendor will keep a copy of our tapes and notify us of changed headings.

11. It is assumed that we would continue to send (at regular intervals) to the vendor, all new bibliographic records for authority file processing, until such time as we can make use of linked systems protocols. At that time we will be able to pull Library of Congress Name Authority Records and hopefully Subject Headings from a bibliographic utility directly into the local system and cease sending tapes to the vendor.

12. The processing of our database for authority records should be done all at one time under either scenario. To have records processed one time for names and another time for subjects would incur duplicate charges.

13. It is assumed that MeSH heading will be issued in machine readable form in the foreseeable future. In April 1987 NLM reported that "it had developed the MeSH to MARC field mappings and specifications for programming to convert MeSH descriptors with their cross-references, tree numbers and scope notes as well well as topical, geographic, form, and language subheadings with allowable tree nodes into the USMARC Format for authority data."

NLM goes on to report that "while NLM is developing a long-term approach to linking other vocabularies, the Library intends to create a separate interim file of terms in other vocabularies with their MeSH equilivants... The LCSH/MeSH maps may be available in this non-Marc form sometime in 1988."

14. The cost of manually converting existing authority files will be absorbed by each library.

15. System constraints will limit the number of authority records keyed directly into the system and therefore place limits on the number of existing headings that can be entered manually.

16. Based on the special nature of music materials, headings for music scores and recordings will require special processing as noted in Appendix 3.

AUTHORITY CONTROL FOR MUSIC MATERIALS

Music composition and publication patterns differ significantly from those of general monographs. Studies show the incidence of single authorship in union catalogs to be somewhere between 60% and 70%, but this important statistic does not hold true in music catalogs. Composers have tended to be more prolific than monographic authors and their works have been published in multiple editions with varying titles in many languages. A random sample of 124 composers in the Sibley Music Library Add-on Catalog revealed 79% (or 98) of the composers produced more than one work; 21% (or 26) composed only one work. These patterns have serious implications for authority control and authority file structures for the Sibley Music Library and the University of Rochester Online Public Access Catalog.

Since 1981, the Sibley Music Library has added 71,345 headings and 52,177 cross-references to its catalog indicating that approximately 73% of the headings require cross-references. It has been shown that music catalogers devote approximately 60% of their time to authority work, and these figures further demonstrate the importance the Sibley Music Library places maintaining bibliographic control of the collection.

Unfortunately, we cannot expect the Library of Congress Name Authority File processing to provide the referencing structure necessary to maintain control of the Sibley Music Library collection. A survey of 9674 headings from 1986/87 further demonstrated the significance of inhouse authority work. 2160 or 22% of the headings had corresponding LCNAF headings. 2445 or 25% were partial matches, usually only on the subfield "A" portions and lacking the necessary references, and 5069 or 52% were created locally.

In order that the Sibley Music Library be able to maintain an acceptable level of bibliographic control for music related materials, it will be necessary to create provisional headings for those headings lacking a corresponding LCNAF record. The procedure need only occur as part of the initial authority file load; prospective or ongoing authority work would be handled directly on the system and duplication of work would be avoided.

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Authority Control Task Force
August 27, 1987

Present: Judith Kharbas, Teresa Evans, Gail Junion, Lisa Mavromatis, Michael Poulin, Joan Swanekamp Guest: Ray Metz

Michael Poulin presented information to the Task Force regarding the Geac system considerations for authority control.

1. The Geac system was originally designed as an in-house authority system with the manual input of authority records directly on the Geac system. It was not designed to load records from an external source. The system was originally designed for the Bibliotheque nationale.

2. The Geac 9000 staff suggested the following course for authority control implementation. Copy the database on either the 8000 or 9000 and ship it to a vendor who will provide us with authority records. (Mike Ridgeway suggested that we append to the authority record the record number, preferably the GRSN or the OCLC number, and the tag number of each occurrence. The vendor will return authority records with pointers to the MARC records.) The 9000 staff suggested that we should not have clean-up work done.

Then the records are loaded into the system via an authority file loader and authority file indexes are built. At some point links are built between the tags in the bibliographic records and the authority record. (Geac linking mechanism is not yet designed and implemented.)

We need to send our new cataloging records for authority processing on a regular schedule, perhaps quarterly. The Geac system can extract records by date for updating by the vendor. The vendor will run the newly extracted records against the authority files and supply us with corresponding authority records on an ongoing basis. They will also keep our authority records that have already been processed on file, and will send us changes if the authority records are updated. If we have the LSP link on RLIN, authority records can be downloaded via a link into Geac.

3. There were varied opinions from the Task Force members on whether we should create provisional records. Joan Swanekamp felt Sibley needed authority records for every name, even if it were a single occurrence. Sibley staff would add cross references to the provisional records. Provisional records are important to Sibley because of their low hit-rate on the LC authority file. Rush Rhees and Miner probably do not need authorities for single occurrences. Mike Poulin suggested that we might be able to solve this problem by dealing with formats, e.g. provisional records for single occurrences might be created for music formats only.

4. What would be the implementation schedule if we wanted the vendor to provide us with cleaned-up bibliographic records as well as authority records? The implementation schedule in our contract precludes a reload. October 1988-July 1989 is the time frame for copying the 8000 database and putting the records into the 9000 where they are converted from the 8000 to the 9000 format. After this

conversion, it might be possible to load the cleaned-up records and overlay the cleaned-up records on the existing records on the 9000. The overlay process would add a month to six weeks to the schedule. Then the indexes would have to be built. This would delay migrating from the 8000 and going live with BPS by 4-6 weeks.

After the database is converted from the 8000 to the 9000, but before the indexes are built, is the only time when the cleaned-up bibliographic records can be loaded into Geac. This means that we have to complete the clean-up all at once and cannot phase it or it's costs in over several years. If we split up the database over a 5-year span, we would get back approximately 100,000 cleaned-up bibliographic records each year. These records would have to be included in the number of records added to the Geac system per year by contract. The contract allows for a total of 150,000 records to be loaded each year. We are currently loading over 120,000 new records each year, which would not allow the loading of an additional 100,000 cleaned-up records.

Another problem with doing records in steps, is that not all bibliographic records for a heading would be under authority control at one time which would preclude doing global changes. We need to think more about a sensible scenario for phasing in authority control if we want the vendor to perform full authority control services.

While database clean-up done by a vendor will help enhance the quality of the database, there will still be a significant amount of clean-up to be done by means of manual processing by library staff. This is likely to require additional staff assigned specifically to the task.

5. What is the implementation process if we just received authority records from the vendor? Extract full bibliographic records on the 8000 or 9000 and send records to the vendor. We would get back authority records with linking pointers. Load authority records into the 9000 using authority record loader after we are live on BPS in July 1989. At some point the links will be created. (Geac linking mechanism not yet designed and implemented.) In the process of linking, the system will generate error and problem reports. Under this scenario clean-up would have to be addressed as a separate, much larger project, most likely requiring more additional staff for a longer period of time.

6. Due to time limitations, Judith Kharbas postponed reviewing the vendor comparison charts until the next meeting.

NEXT MEETING: Wednesday, September 2, 1987, 1:15 p.m., Technical Services Conference Room, Rush Rhees Library.

AGENDA: Review the vendor comparison charts
Discuss authority control implementation pathways

COMPONENTS OF MACHINE REVIEW AND MANUAL REVIEW WHEN PROCESSING TAPES FOR AUTHORITY CONTROL

In general, authority control consists of:

1. Updating library headings to LC's most recent practice
2. Standardizing forms of headings for filing purposes and for improved online access
3. Updating MARC tags and subfield codes to their current form
4. Deblinding cross-references

All three of the vendors being considered use a combination of machine processing and manual processing to clean up a file and produce authority records for as many headings as possible. They can all do global changes, additions, and deletions of fields and subfields, fix inaccurate filing indicators, handle split headings, and do parts matching where they cannot get a match for the entire heading.

BNA depends on its large staff of editors to perform much of the data base cleanup while the Computer Company does more machine processing than manual editing. Utlas on the other hand has several special machine programs, including "Thesaurus" which expands obsolete abbreviations, flips geographic headings, and updates form subdivisions and is run on the data base before machine matching is attempted and "Verilead" which attempts to do parts matching if a full match does not exist. "Thesaurus" is done automatically as part of the authority control process while "Verilead" is done only if the customer requests it.

MACHINE PROCESSING

The machine processing done by all three companies consists basically of temporarily removing all diacritics, subfield designators, punctuation, upper and lower case distinctions and extra spacing thus normalizing the bibliographic headings. Then by matching normalized bibliographic headings against normalized authority headings the system performs either a full match or a parts match. Whenever headings in the bibliographic records match headings in the LC authority files, the older form of a heading will be transformed to the newer or most current form of heading.

MANUAL PROCESSING

The manual processing of records to establish authority control of headings as done by these three vendors is quite similar.

At BNA the editors review alphabetical displays of non-match headings and:

Fix inconsistencies in spacing, punctuation and capitalization and correct typos and minor spelling errors
Change direct geographic subject headings to indirect
Change corporate names entered under place to name entry
Change all conference or meeting names to AACR2 form
Check abbreviations and spell out as necessary

Remove initial articles as appropriate
Standardize personal names across the file
Review split headings and assign the correct one to each record

After the above changes have been made, the records then pass through the authority process again to try to establish a match. Their editors review all matched and unmatched headings and parts matches, with the exception of subject matches.

At Utlas headings which have not been linked to an authority record are printed out in a CARP(CATSS Authority Review Product) list. Editors then review the printouts for coding problems, spelling and typographical errors, incorrect tags, inaccurate filing indicators, and problems in the form of a heading.

They also manually review split headings and conflicting authority records (2 or more authority headings from the LC authority file match a single bibliographic heading)

After reviewing the printouts, they then try to resolve the problems by online searching, so that as many records as possible will be linked.

The Computer Company manual processing includes:

Checking split headings
Checking duplicate 'as used' and 'not as used' headings
Scanning 'no hits' for spelling errors, subfield coding and field tagging errors
Checking for obsolete abbreviations

They then recheck for an authority heading match.

One way that the Computer Company differs from the other two is that it does less work on series authorities preferring to let the customer handle all except the most basic work because there can be so many local variations in the treatment of series entries.

Brief Description of the University of Kansas Libraries' Online Record Management and Authority Control System

The University of Kansas Libraries has a locally developed online Record Management and Authority Control System. There are three main components to the system:

1. a number of batch programs which process incoming bibliographic records from OCLC archive tapes. The processing includes the matching and linking of headings on bibliographic records to existing authority records and the creation and generation of new authority records and reports for headings which are new to the authority file.
2. an online editing and updating system which allows for the creation on new authority records and brief cataloging records, and the ability to edit or delete authority and bibliographic records (brief and full) from the system.
3. a microcomputer hooked to the printer port of an OCLC terminal which allows for the transfer of selected "see from" references and notes from the LC name authority records.

The system includes a number of online files:

1. a system control file,
2. the authority file,
3. the bibliographic file,
4. a "useage" index which shows all the bibliographic records using a given heading,
5. a "see also" index which indicates in which other authority records a given heading occurs as a 5xx field,

SYSTEM CONTROL FILE

The system control file provides several different functions:

1) it defines what the system considers to be legitimate data (i.e. the validity of tags, indicators, and subfields and the allowable values associated with each for both authority and bibliographic data). If new tags or subfield codes are defined by LC and MARBI, the system can be readily updated by Cataloging Dept. staff to accommodate these changes,
2) the system control file holds the design matrix for the diacritical marks and special characters used in cataloging records,
3) it contains system authorization information,
4) it contains authority data input by authorized members of the Cataloging Department. This data includes a list of free floating subdivisions and a list of geographic names frequently used with subject headings. It also includes a list of replacement data which provides for the conversion of old obsolete headings or portions of headings portions of headings to new headings or portions of headings. As OCLC archive tapes are loaded into the local database, they are run first against the system control file. At this time, by virtue of the information already in the file, certain data will be replaced. For instance, it can have all occurrences of "$a kansas $b university" changed to $a University of Kansas in all 110 corporate name headings, or it we can have $a New York (City) changed to $a New York (N.Y.) in all 651 tags or all tags if so indicated. After data has been run past the system control file and any specified replacements have taken place, the heading will be matched against the authority file and either a new authority record will be created if the heading is unique to the file, or the heading will be matched against the one already in the authority file and it will be given that authority control number.

AUTHORITY FILE

The authority file contains records for all headings under authority control which appear in the appear Online Catalog. It provides in one alphabet, personal, corporate, conference, geographic, uniform title and topical subject headings. It also includes some specially coded "unauthorized" phrases or headings that provide filing guidance or special information to patrons or processing staff, e.g. "Mac see also names beginning with MC." In addition, the system also contains authority records for heading which are not linked to bibliographic records in the Online Catalog, but whicn are useful for informational purposes, such as parent headings which contain the reference structure for a given heading, or obsolete headings retained for information purposes only.

All authority records follow the MARC authorities format with a few local modifications. The information recorded is taken wholly, or in part, from LC's Name Authority File records, LC's Subject Headings, and catalogers' worksheets. Included as part of the authority record are:

1. the established heading
2. see from references
3. see also from references
4. scope notes
5. general see also notes
6. local printing and non-printing notes, and
7. all the appropriate tags, indicators, subfield codes and control numbers, etc. associated with the preceding information

The heading portion of the authority record is supplied either by the Cataloging Department or the automated system. In the case of the latter, headings are "stripped off" incoming OCLC archive tapes and automatically added to the authority file portion with a control number supplied to each heading. All additional data must be added by the Cataloging Department either manually or by means of a micro-computer attached to the printer port of an OCLC terminal which allows a staff member to download information from the LC Authority File.

BIBLIOGRAPHIC FILE

The online system contains all full bibliographic records which have been updated or produced through OCLC since the library began cataloging on OCLC in 1976. The bibliographic records appear in their entirety in full MARC format with notes, added entries, subfield codes, tags, etc. as well as control numbers assigned to the headings. All full bibliographic records are added to the system twice a month form OCLC archive tapes. New, full bibliographic records can be added to the system only through OCLC. All bibliographic records, once loaded into the local system, are updated and maintained locally.

In addition to full bibliographic records, the Cataloging Department maintains a holding pattern for items awaiting appropriate copy on OCLC. For each item in the holding pattern, a brief record will be generated and keyed into the local online system. The brief records include:

1. author main entry (if there is one)
2. title

3. imprint
4. series statements (on selected items)
5. call number (for classed together series)
6. a system supplied "brief" record number

Access to full bibliographic records is possible either through the OCLC number or through one of the authority headings associated with a given bibliographic record.

Brief records contain only subfield coding necessary to allow them to sort correctly in the Online Catalog. All brief records display in the Online Catalog and can be deleted manually or "bumped out" automatically by new OCLC records being added to the system if the appropriate 949 field is added to the OCLC record.

USEAGE INDEX

The useage index provides an index to all bibliographic records using a particular heading. When a staff member is viewing an authority record, he or she merely needs to type "use" at the top of the record to obtain a list of all of the OCLC record numbers that use the particular heading that is being viewed. From the list of bibliographic numbers listed a staff member may go directly to the full bibliographic display for a given record number. From the full bibliographic record display a staff member may also "jump" back to any authority record associated with the bibliographic record being reviewed.

SEE ALSO INDEX

A "see also" command is provided to enable a staff person looking at a given authority heading to request a "see also" index display which indicates in which other authority records the heading being looked at occurs as a 5xx field. Through a simple command the staff member can then move to any of the authority headings listed in the "see also" index display.

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Brief History of Watson Catalogs & Authority Practices

Until 1976 -- Cataloging done manually on cards following ALA and then AACR rules ; some cards purchased from LC; regular searching of National Union Catalog (NUC) for copy. Dictionary card catalog; authority cards interfiled in public catalog; minimal cross referencing.

1976-1980 -- Cataloging begun online through OCLC; NUC still searched when copy not on OCLC. Divided card catalog; authority cards removed from public catalog and filed in authority file; still minimal cross referencing.

1981-mid 1983 -- Begin cataloging following AACR2 rules; conflicts in card catalog result in many interfiles and split files; extensive authority practices instituted. LC Name Authority File becomes available through OCLC; NUC authority records begin to appear in NAF.

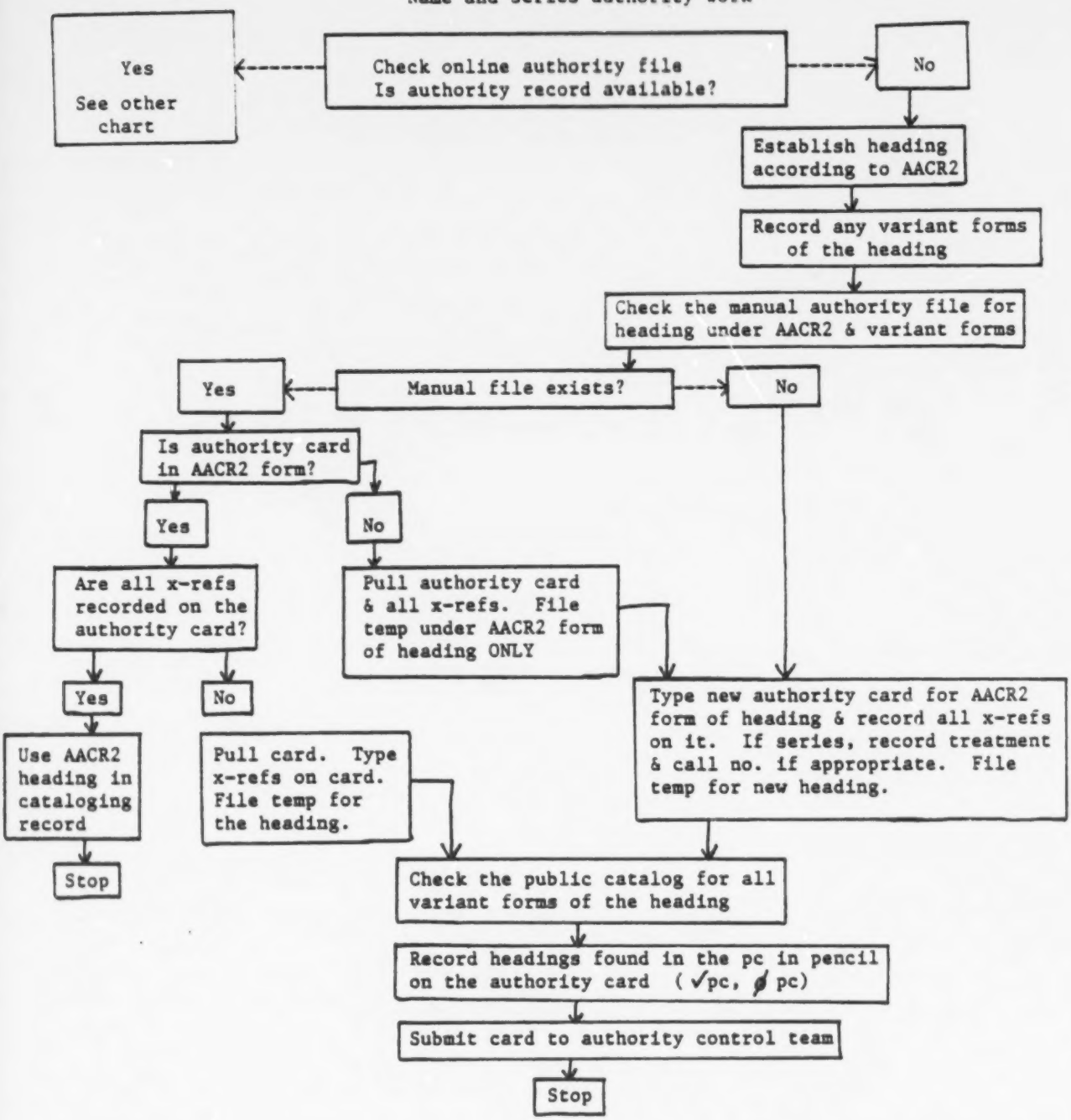
Mid 1983-July 1984 -- COM project to create a database for the microfiche catalog begins (OCLC Units 50%; Catalog Maintenance 100%); add-on card catalog created for materials cataloged during creation of COM database; fewer references typed for public card catalogs; authority cards still generated for use in creating the COM database.

Aug 1984-Sept 1987 -- COM project ends; begin cataloging new serials on OCLC; microfiche catalog era begins; add-on catalog discarded. Authority work centralized; Catalog Maintenance reorganized and named Authorities Unit; begin loading pre-1981 OCLC cataloging records into local database. Authority cards no longer generated on a regular basis. LC Name Authority File becomes current on OCLC within 24-30 hours of LC through LSP (Linked Systems Project).

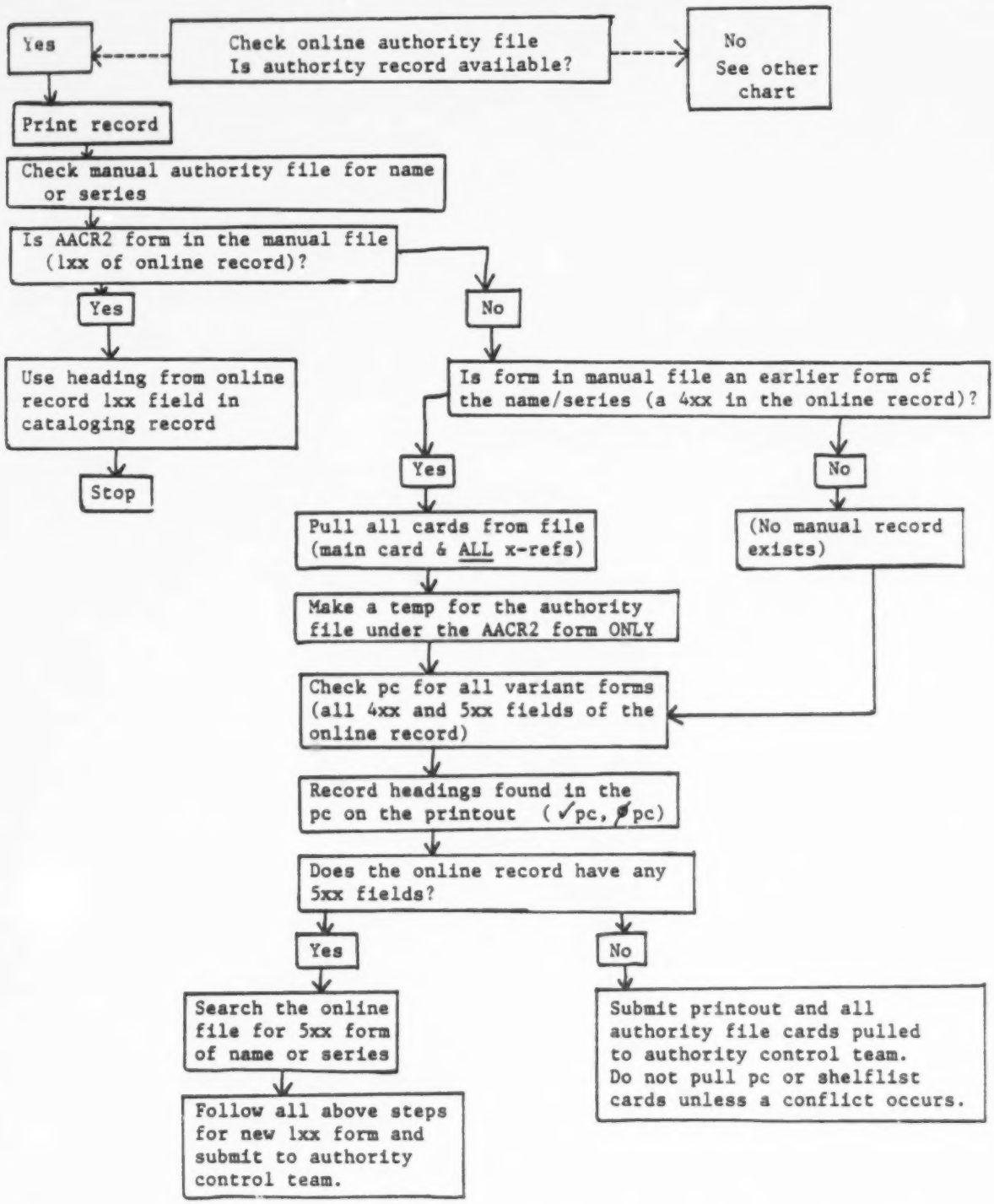
Oct 1987-mid1988 -- Online catalog era begins; science retrospective conversion project begins; pre-1977 LC MARC tapes loaded locally for use with science materials. LC Subject Authority File becomes available through OCLC; NACO (National Coordinated Cataloging Operations) participants begin to input authority records directly into LC database through LSP; NCCP (National Coordinated Cataloging Project) bibliographic implementation is first reflected on OCLC bibliographic records.

Mid 1988- -- Discussions begin on inclusion of UKASE database in online catalog; brief record authority control; creating an online union catalog; and implementing future retrospective conversion projects. Completion of loading pre-1981 OCLC cataloging records into local database. AACR2 revision is published.

Name and series authority work


Check online authority file
Is authority record available?
Yes
See other chart
No
Establish heading according to AACR2
Record any variant forms of the heading
Check the manual authority file for heading under AACR2 & variant forms
Manual file exists?
Yes
No
Is authority card in AACR2 form?
Yes
No
Are all x-refs recorded on the authority card?
Yes
No
Use AACR2 heading in cataloging record
Stop
Pull authority card & all x-refs. File temp under AACR2 form of heading ONLY
Pull card. Type x-refs on card. File temp for the heading.
Type new authority card for AACR2 form of heading & record all x-refs on it. If series, record treatment & call no. if appropriate. File temp for new heading.
Check the public catalog for all variant forms of the heading
Record headings found in the pc in pencil on the authority card (✓pc, ø pc)
Submit card to authority control team
Stop

Name and series authority work


Check online authority file
Is authority record available?
Yes
No
See other chart
Print record
Check manual authority file for name or series
Is AACR2 form in the manual file (1xx of online record)?
Yes
No
Use heading from online record 1xx field in cataloging record
Stop
Is form in manual file an earlier form of the name/series (a 4xx in the online record)?
Yes
No
Pull all cards from file (main card & ALL x-refs)
(No manual record exists)
Make a temp for the authority file under the AACR2 form ONLY
Check pc for all variant forms (all 4xx and 5xx fields of the online record)
Record headings found in the pc on the printout (✓pc, ✗pc)
Does the online record have any 5xx fields?
Yes
No
Search the online file for 5xx form of name or series
Follow all above steps for new 1xx form and submit to authority control team.
Submit printout and all authority file cards pulled to authority control team. Do not pull pc or shelflist cards unless a conflict occurs.

CATALOG RECORD MAINTENANCE AUTHORITY PROCEDURES

UUM Authority file will contain all LC authorities which have been used by UUM and those headings where conflicts exist or extensive research on a heading has been done.

I. Local authorities that are received from the catalogers will be given High Priority and added to the UUM Authority File.

II. The Catalog Record Maintenance Section will receive from the systems, a list of new headings, which have been compared against the Bibliographic File and possibly the UUM Authority File.

III. Each heading on the list should be looked up in the UUM Authority.

A. If it is in the UUM Authority File correctly - nothing else should be done with this heading.

B. If it is not in the UUM Authority the heading should be checked in the LCSH Resource File or the OCLC Name Authority File.

1. If the heading is in either of these files and it is in correct form, the record is pulled and added to the UUM Authority File.

2. If there is a problem in the form (i.e. spelling, etc.) the heading is verified, corrected when necessary, and if needed added to the UUM Authority File.

3. If there is a conflict (such as a see reference) with the heading and the existing authority record (the LCSH Resource File or the OCLC Name Authority File), the correct form is verified and the existing record is changed. The UUM Authority File is checked for the correct form and the record is added if needed.

C. If necessary global or individual changes will be generated.

D. If the heading is not found in the LCSH Resource File or the OCLC Name Authority File manual verifiation may be necessary. A periodic list of unique non-LC headings appearing to need cross references will be given to the Professional Catalog Librarians for verification. The Section Head of Original Cataloging will return the list to the Bibliographic Control Section for input and global changes as necessary.

IV. When lists of changes made by LC are made available they will be added to the data base and authority file as they are received.

ORIGINAL CATALOGUING SECTION ONLINE AUTHORITY WORKFLOW

1. Incoming items will be searched by the Online Cataloguing Section for type of cataloguing copy. Items with contributed copy or with no copy will be sent to the Original Cataloguing Section.

2. For items with contributed copy or with no copy, the Original Cataloguing Section will search all names, series, uniform titles and subject headings in the UUM online authority file. If an authority record is found, the bibliographic record will be edited to conform to the authorized form of the headinf in the UUM file.

3. For items with contributed copy or with no copy, headings that are not found in the UUM online authority file will be searched in the LC authority file. If an LC record is found, the bibliographic record in hand will be edited to comform to the authorized form of the name. These new headings when entered as part of a bibliographic record will be flagged by Systems and a list given to Catalog Record Maintainence to generate an authority record in the UUM online file.

4. Bibliographic records which contain headings not found in either the UUM of LC authority file, or other DLC use of the heading, will be routed to a Professional Catalog Librarian to establish the authorized form of the heading and appropriate notes and cross references. If any change needs to be made on the bibliographic record, the item will be returned to the Paraprofessional Cataloger for completion. In order to ensure a smooth and efficient workflow, all revision should be accomplished within a week. The information on new headings authorized by the Original Cataloger will be sent to the Catalog Record Maintainence Section. This will add the new headings to the UUM online authority file.

5. Authority Assistants in the Catalog Record Maintainence Section, using authority information provided by the Original Cataloguing Section, will globally change all headings in the database to conform to these new authorized headings.

6. Authorized global changes will be made at least weekly by Systems, and a list given to the Section Head of Catalog Record Maintainence for review. Any conflicts will be resolved by the Head of Original Cataloguing, or if necessary, referred to the Division Head for final decision.

AUTHORITY CONTROL PROCEDURES ON NOTIS
ONLINE CATALOGING SPECIALISTS

NAMES:

Verify or edit the form of the name only when the form of the name on the primary source and on the bibliographic record are different and there are none of the following:

"desc: a" in the fixed fields
|w following the name
m.c. or m/c in |d of the 040 field

When there is no evidence of AACR-2 name verification, follow these steps only as far as needed to establish the form:

1. Search the NOTIS Name Authority File and use the form found there.
2. Search the OCLC Name Authority File and download the record found.
3. Search the OCLC Bibliographic File and use the form found on any record on which there is evidence that the name was verified.
4. Leave the form as it appears on the bibliographic record downloaded. The Catalog Record Maintenance Section will consider all names which print out on a new headings list.

SERIES:

For the following:

Vol. 1 of a series
Analyzed sets and series
Series entries not established by DLC under AACR-2 rules
Discrepancy between DLC and UUM treatment

Search the NOTIS Name Authority File to see if the series has been established there; then search the OCLC Authority File and:

1. If there is no NOTIS authority record, download the OCLC record.
2. If there is a NOTIS authority record, verify that it is the same form and treatment as OCLC.
3. If there is a discrepancy between OCLC and NOTIS, follow the DLC treatment and send the information to the CRMS for consideration.
4. If there is no OCLC authority record, use the UUM form and treatment from NOTIS.
5. If there is no OCLC nor NOTIS record, send the item to an Original Cataloger to create a new authority.

SUBJECTS:

Edit subject headings only when an old heading is quickly and easily identified from the list of major subject heading changes that CRMS provided. The Catalog Record Maintenance Section will clean up all other headings using new headings list printouts.

March 10, 1988

CURRENT NAME AUTHORITY WORK

1. DBM librarian checks printouts generated by catalogers daily. Any names indicated which seem questionable are checked against the LCNA record in OCLC. Corporate entries which the cataloger has not searched are checked in LCNA, and the record number is indicated if a record needs to be made. Underline in red those records to be made. Line out record numbers not to be made. (Circled record numbers mean that a Cataloger I has looked up the NA record, but there are no references. This is used for training purposes.)

   On some printouts the cataloger has indicated that the entry was not found in LCNA. Recheck. (Compound and corporate names are frequently searched incorrectly.) If the name is found, indicate the record number for transfer. If the name is still not found, write a large red question mark by the side of the entry, to be kept for later searching or original input.

2. DBM assistant checks entries indicated against NOTIS NA file for possible duplication. If the entry is already a 1XX field in a NA record, indicate "dupl" on printout.

3. DBM assistant transfers entries that are not duplicates, using "oclc a" (or "ocla") command. Fixed fields are changed as in memo on conversion of name authority file. NOTIS record number is indicated in large letters/numbers on the printout. It is then ready for editing by DBM librarians.

March 14, 1988

SEARCHING NEW NAMES PRINTOUT

1. Identify and mark names on printout that have errors or need to be searched, using guidelines given in separate memo.

2. Search in NOTIS NA file, using command "find na".
   (a) If an authority record is already in NOTIS, put a check mark to the right of the name.
   (b) If there is no record in NOTIS, put a "0" to the right of the name.

3. Check names not found in NOTIS NA file in LCNA file on OCLC. (Search key: 4,3,1)
   (a) If no record is found in LCNA, write "LCNA0" to the right of the name.
   (b) If a record is found, but it has no 4XX or 5XX references, write "ok" to the right of the name.
   Exception: If a name has a qualifying name in parentheses (e.g., Smith, Martin (Martin S.)), is a compound name (e.g., Seymour-Smith, Martin), or has a prefix (e.g., Van Helden, Albert), we will make references even if LC does not. Transfer names of this type even if LCNA has no 4XX fields.
   (c) If a record with 4XX or 5XX references is found, recheck NOTIS NA file if any length of time has elapsed between the first check of NOTIS and the check of LCNA. If the record is now in NOTIS, put a check mark to the right of the name.
   (d) If a record with 4XX or 5XX references found in LCNA is not in the NOTIS NA file, transfer the record from OCLC to NOTIS, using the command "oclc a" (or "ocla" if asked to overlay another NA record).
   (e) If a record has only 5XX references, write the LCNA number beside the name but do not transfer it.
   (f) If there is any problem or question about a record, write the LCNA number beside the name but do not transfer it.

4. After record is transferred, use guidelines for correcting fixed fields in NOTIS found in memo on conversion of the authority file. Enter. Write NOTIS NA file number to the right of the name.

5. If headings are difficult to search on OCLC (e.g., search brings up many records), search title on LCNA fiche and note LCNA record number. Record may then be searched on OCLC by record number.

NOTE: Printouts will be saved for later review of names for which no authority records were found in LCNA. Names which must have authority records will be given original input if no record has been input into LCNA in the interim period.

March 14, 1988

NEW NAMES PRINTOUT: THINGS TO CHECK

I. Look for errors. Names with errors should be circled, with error underlined.

Errors include: (a) Spelling errors
(b) Dates included as part of personal name
(c) Titles or notes included in name list

II. Names to be searched:

(a) Personal names of the following types:

Surnames with no first name
Compound names (e.g., García Lorca, Federico)
Names with prefixes (e.g., Van Helden, Albert; Beauvoir, Simone de)
Names where shortened forename(s) followed by full name(s) in parentheses, (e.g., Thompson, John (John Joseph))
Names where first name(s) indicated by initials (e.g., Johnson, B. L. C. (Basil Leonard Clyde); Johansson, Norman L. (Norman Lloyd))
Names where forenames are nicknames (e.g., Carter, Jim Bob (James Robert))
Forenames with no surname (e.g., Tiberius; Johann Sigurjonsson; Johannes, de Alta Silva)
Women's names with maiden names as middle name (e.g., Martin, Elizabeth Price)
Arabic, Hebrew, Russian, Latin, and Oriental names
Same name in two different forms - Bracket together

(b) All corporate names (e.g., universities, museums, societies, conferences, government bodies, expeditions, institutions)

(c) Geographical names (e.g., countries, counties, cities, regions)

(d) Initialisms

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GENERAL PROCEDURES FOR AUTHORITY RECORD CREATION

1. Authority records should be created in the following instances:

   a. Name authority records should be created for names new to NOTIS whenever references are needed, an 053 is appropriate, or similar names need to be distinguished. For names (personal and corporate) always follow the procedures for name authority records even if the name has only been used as a subject. The type of heading in which the name appears is indicated by the NAME, SUBJ, and SER fixed field elements. Name authority records for names already in NOTIS can be created as time permits.

   b. Authority records for a corporate body with subdivisions new to NOTIS should be created whenever references are necessary for the subdivisions. If the main corporate body has variant forms requiring references, a separate authority record should also be created for the main body alone. Only the established AACR2 heading for the main body should be used in 410 fields in the authority record for the subdivision of the corporate body.

      Ex.: 110:20: University of California, Berkeley.
      410:10: ǂw nna ǂa California. ǂb University
      and
      110:20: University of California, Berkeley. ǂb Library.
      410:20: University of California, Berkeley. ǂb General Library
      DO NOT MAKE
      410:10: ǂw nna ǂa California. ǂb University. ǂb General Library

   c. Do not create an authority record for a conference only to input a 667 field with the qualification used. If the name of the conference does not require references, do not create an authority record.

   d. Uniform title authority records should be created for new uniform titles whenever references are necessary. They can also be made for uniform titles already in NOTIS as time permits. If the personal or corporate name in the uniform title heading has variant forms requiring references, a separate record should be created for the personal name heading alone. Only the established AACR2 heading for the personal/corporate name should be used in 400/410 fields for the uniform title authority record.

      Ex.: 100:20: Mendelssohn-Bartholdy, Felix, ǂd 1809-1847.
      400:10: Mendelssohn, Felix, ǂd 1809-1847
      400:10: Bartholdy, Felix Mendelssohn, ǂd 1809-1847
      and
      100:20: Mendelssohn-Bartholdy, Felix, ǂd 1809-1847. ǂt Psalm 42
      400:20: Mendelssohn-Bartholdy, Felix, ǂd 1809-1847.
      ǂt Wie der Husch Schreit

   e. Series authority records should be made for all series.

f. Subject authority records should be made for all new subjects which have references or scope notes. They should also be made for deleted subject headings. When a cancelled heading is replaced by a heading not printed in LCSH, or a cancelled heading is not used as a 'see from' reference to a new heading, the cancelled (deleted) heading should be entered in a 150 field and a 682 field should be used to record the explanation of the deletion. Create an authority record for the new heading if it is printed in LCSH adding the deleted heading in a 690 note.

g. Authority records can be created for headings which are not used in NOTIS. Make sure the heading use codes are set to '?' or 'c' as appropriate. These records will be created for authorities for Hebrew language materials which are not presently being entered in the NOTIS bibliographic database. These references may also be appropriate for some old series.

2. The command to search the authority field is 'LTWU FIND NA...'

3. Searching to be done at time of input

a. Search under the established heading (1xx field) and all 4xx references in the authority file. If a record is found matching the heading or one of the 4xx fields, return the authority printout to the cataloger.

b. Search under the established heading (1xx field) in both the author index and subject index. Inform the cataloger of any variations found in the indexes which appear to represent the same heading. If the heading appears in the author index, 'NAME' should be coded 'a'. If the heading appears in the subject index, 'SUBJ' should be coded 'a'. 'NAME' and/or 'SUBJ' may be coded 'a' even if entries are not presently in the index, since they may be added to the index during the next tape load. If a printout indicates 'c' but the heading is found in the appropriate index, change the code from 'c' to 'a.'

If a corporate entry is not found in the subject index, code all subfield 'w's in 550 and 551 fields as 'nbna' to prevent the references from displaying in the subject index. If the corporate entry does appear in the subject index, the code in subfield 'w' should be 'nb.'

c. Search all 400, 410, and 411 fields in the author and subject indexes. If any headings are found, the authority record should be returned to the cataloger along with the NOTIS keys of the incorrect headings. Also inform the cataloger of any other variations found in the indexes which appear to represent the same heading.

d. Search all 430 fields in the title and subject indexes. If any headings are found, the authority record should be returned to the cataloger along with the NOTIS keys of the incorrect headings. Also inform the cataloger of any other variations found in the indexes which appear to represent the same heading.

e. For series, check all bibliographic records under the series heading for numbering consistency. If the numbering designation on the individual records is not consistent with the example in the 642 field of the authority record follow the procedures below.

1) If some issues in the series are numbered and others are not, return the authority printout to the cataloger with this information unless there is a 641 field on the authority record explaning this discrepancy.

2) If the only difference between the form of series numbering in the bibliographic records and the 642 field in the authority record is the presence of a designation such as 'v.' or 'Bd.', correct the record. Do not change the form in the SER or SET field. If the series is traced in a SAU, SAP, or SAC field, change the designation in that field. If the bibliographic record has a SET field, change the SET to SER:D and add an SAU field with the correct designation.

f. For author/title uniform titles, do the following searching in the bibliographic files:

1) For books, search in the title index under the title portion ('t' subfield) of the 1xx and 4xx fields to see if the uniform title has been used in a UTI(240) field. Search in the author index and look for an author/title entry (index entry will have 2 plus signs) to see if the uniform title has been used in a AEP(700) or AEC(710) field.

2) For scores and sound recordings, search under the author. The author index will be subarranged by the uniform title from the UTI(240) field if there is one. An author search will also retrieve uniform titles from AEP(700) or AEC(710) fields.

3) Search the subject index using the author's name. Any uniform titles will appear after the regular subdivisions of the author.

4) Inform the cataloger of any variations found in the indexes which appear to represent the same heading.

g. For topical subjects, search all 450 and 451 fields in the subject index. If any headings are found, notify the Catalog Librarian in charge of Authorities.

h. For geographic names, search all 451 fields in the author and subject indexes. If any headings are found notify the Catalog Librarian in charge of Authorities.

4. Call up a workform using the command 'LTWU NEW A'. You will get a display of the authority fixed fields. All required variable fields will need to be typed after the fixed field data. Variable fields can be input in a continuous paragraph using the CONTROL/w keys to indicate the end of fields. Reformat the record using the SAME key and revise what you have input. After creating the record, add the NOTIS key to the printout.

5. Add variable fields as described in the procedures for each type of authority record. All tags are 3 characters and must be followed by a colon (:), the 2 indicators, and another colon (:). Blanks should be used to hold the place for the indicators if the indicators have no other value. (Ex.: 010: : or 100:10:) A space after the second colon is optional. It is not necessary to input '/a' at the beginning of the field. All variable fields must end with the end of field mark (;) which is input with the CONTROL/w keys. The end of field mark doesn't display after reformatting the record.

6. 4xx fields must be input carefully. There should never be a blank at the end of field. A blank causes the global change programs not to work. All 4xx fields to be checked in the global change program must have a subfield 'w' with 'a' as the third code. The subfield 'w' must be the first subfield in the field. '/a' must be explicitly input after a subfield 'w'.

   (Ex.: 400:10:/w nna /a Clemens, Samuel Langhorne, /d 1835-1910;)

   Check the procedures and subfield 'w' document carefully.

7. 4xx fields which are not included for purposes of global changes do not need a subfield 'w' if all values in the subfield are 'n'. Consult the subfield 'w' document for more information.

8. A list of diacritics is included in each NOTIS terminal manual. Most diacritics are input using the escape key. Use the back slash (\) as the escape key.

9. When a field calls for ending punctuation the valid marks of punctuation are a period ".", a comma ",", a hyphen "-", or a closing parenthesis ")". Do not add a period after a closing parenthesis.

10. For name and subject headings, it is not necessary to indicate the collections in which a heading has been used. For series headings, this information should be input in separate 646 fields.

Washington
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Sept. 1, 1988

GLOBAL CHANGE PROCEDURES

Global change requests are issued when more than 10 records for the same heading in the database need to be changed. A series of programs have been written by our Library Systems Staff to change the headings in the database. All of the programs are based on the existence of an authority record for the heading in the online authority file. The procedure for global changes varies depending on the type of heading to be changed.

It is normally best to group similar changes together. Separate programs are used to change main/added entries and subjects, for instance. Personal and corporate name changes can be grouped together but geographic or topical changes must be handled in separate batches. The Catalog Librarian in the Catalog Management Unit will be responsible for determining the scheduling of global changes in consultation with the Library Systems Librarian.

I. Personal Names

A. Bibliographic record fields changed by the personal name global change programs are: 100, 400, 600, 692, 700, and 800.

B. Create an online authority record for the personal name if none exists.

1. The valid form of name should appear in the 100 field.

2. All variant forms of the name existing in the database must be represented in 400 fields. Examples of some of the types of variations requiring 400 fields are listed below:

a. Variations in fullness of the name
b. Variations in punctuation including location or presence of periods (other than a final period ending the field), hyphens, etc.
c. Variations in capitalization
d. Variations in diacritics
e. Variations in dates
f. Variations in subfield coding

EXCEPTION: Variations in the number of blanks following an initial or date will be handled by the program.

3. Make sure all 400 fields representing variants to be searched and changed in the bibliographic file have 'a' or 'e' in the third position in subfield 'w'.

4. Make sure no 400 field to be searched ends with a period. If a field ends with a period after an initial or abbreviation, delete the period and make yourself a note to add the period to the field in the authority record after the global change has been completed.

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5. Add a 690 field to the authority record with 'GLOB ISSUED', the date, and your initials.

   EX: 690: :GLOB ISSUED:11/15/85;jf

C. Issue a global change command by typing LTWU GLOB at home position with the authority record displayed on the screen. Make sure you receive the response 'GLOB REQUESTED'.

II. Corporate/Conference Names

A. Bibliographic record fields changed by the corporate/conference name global change programs are: 110, 111, 410, 411, 610, 611, 693, 694, 710, 711, 810, and 811.

B. Care must be taken in making global changes to corporate bodies because the main body will be changed even if subdivisions are also present. Do not try to make more than one change involving a single corporate body in one batch of global changes. Always make the change to the main corporate body first. Then make sure the current form of the corporate body is in the 410 field of the authority record for the second change. If all entries under the corporate body are for the same 'subdivision change', only one global change is necessary.

Ex: Old heading: American Philosophical Society, Philadelphia.
New Heading: American Philosophical Society.

Old heading: American Philosophical Society, Philadelphia. Memoirs.
New heading: Memoirs of the American Philosophical Society.

First, do a global change to change all occurrences of 'American Philosophical Society, Philadelphia' to 'American Philosophical Society'. In the next batch of global changes, change 'American Philosophical Society. Memoirs' to 'Memoirs of the American Philosophical Society'. If all entries under 'American Philosophical Society, Philadelphia' are 'Memoirs', only one global change from 'American Philosophical Society, Philadelphia. Memoirs' to 'Memoirs of the American Philosophical Society' is necessary.

C. Create an online authority record for the corporate or conference name if none exists

1. The valid form of name should appear in the 110/111 field.

2. All variant forms of name existing in the database must be represented in 410/411 fields. Examples of some of the types of variations requiring 410/411 fields are listed below:

   a. Presence of a place following a corporate name
   b. Presence of a qualifier for a corporate name or form of the qualifier

c. Heading entered directly under name versus under name of parent body
d. Variations in fullness of name
e. Variations in punctuation including location or presence of periods (other than a final period ending the field), hyphens, etc.
f. Variations in capitalization
g. Variations in diacritics
h. Variations in subfield coding

EXCEPTION: Variations in the number of blanks following an initial in an acronym or abbreviation or following a date/hyphen combination in parentheses will be handled by the program.

3. Make sure all 410/411 fields representing variants to be searched and changed in the bibliographic file have 'a' or 'e' in the third position in subfield 'w'.

4. Make sure no 410/411 field to be searched ends with a period. If a field ends with a period following an initial or abbreviation, delete the period and make yourself a note to add the period to the field in the authority record after the global change has been completed.

5. Add a 690 field to the authority record with 'GLOB ISSUED', the date, and your initials.
EX: 690: :GLOB ISSUED:11/15/85;jf

D. Issue a global change command by typing LTWU GLOB at home position with the authority record displayed on the screen. Make sure you receive the response 'GLOB REQUESTED'.

III. Series and Uniform Title Headings

A. The present global change programs can be used to change name/title headings to other name/title headings or name/title headings to titles. Title to title changes cannot be done. Bibliographic record fields changed by this program are 100, 110, 111, 400, 410, 411, 800, 810, 811, 910, 911, and 912.

B. If the change involves a change from name/title heading in which the form of the name (either personal or corporate) has changed, do a global change for the name portion first if necessary. If all entries under the name are the name/title heading you are changing, a global change for the name alone is not necessary. Do not try to make more than one change to a single heading in one batch of global changes. See section IIB for an example.

C. Create an online authority record for the series/uniform title heading if none exists.

1. The valid heading should appear in the 1xx field.

2. All variant forms of the heading existing in the database must be represented in 400/410/411 fields. Examples of some of the types of variations requiring 400/410/411 fields are listed below:

   a. Singular versus plural form of publication terms
   b. Heading entered directly under title versus under personal or corporate name
   c. Variations in punctuation within the heading itself (Variations in commas or semicolons immediately preceding the 'v' subfield are handled programmatically.)
   d. Variations in capitalization
   e. Variations in diacritics
   f. Variations in subfield coding

3. Make sure all 400/410/411 fields representing variants to be searched and changed in the bibliographic file have 'a' or 'e' in the third position in subfield 'w'.

4. Make sure no 410/411 field to be searched ends with a period. If a field ends with a period following an initial or abbreviation, delete the period and make yourself a note to add the period to the field in the authority record after the global change has been completed.

5. Add a 690 field to the authority record with 'GLOB ISSUED', the date, and your initials.

   EX: 690: :GLOB ISSUED:11/15/85;jf

D. Issue a global change command by typing LTWU GLOB at home position with the authority record displayed on the screen. Make sure you receive the response 'GLOB REQUESTED'.

IV. Topical Subjects

A. Bibliographic record fields changed by the topical subject global change programs are: 630, 650, and 690. The second indicator in this field must be 0 to indicate a Library of Congress heading.

B. Create an authority record for the subject in NOTIS if none exists.

1. The valid form of name should appear in the 130 or 150 field.

2. All variant forms of the field existing in the database must be represented in 430 or 450 fields. Examples of some of the types of variations requiring 430/450 fields are listed below:

   a. Variations in punctuation
   b. Variations in capitalization
   c. Variations in diacritics

EXCEPTION: Variations in the number of blanks following an initial in an acronym or abbreviation or following a date/hyphen combination in parentheses will be handled by the program.

3. Make sure all 430 fields representing variants to be searched and changed in the bibliographic file have 'a' or 'e' in the third position in subfield 'w'. Make sure all 450 fields representing variants to be searched and changed in the bibliographic file have 'ba' in the second and third positions in subfield 'w'.

4. Make sure no 430/450 field to be searched ends with a period. If a field ends with a period following an initial or abbreviation, delete the period and make yourself a note to add the period to the field in the authority record after the global change has been completed.

5. If the 150 field has a hyphen followed by a subfield, be sure and insert an extra blank between the hyphen and subfield code. Otherwise, the heading will not display correctly in LUIS.

6. Add a 690 field to the authority record with 'GLOB ISSUED', the date and your initials.

   EX: 690: :GLOB ISSUED:11/15/85;jf

C. Issue a global change command by typing LTWU GLOB at home position with the authority record displayed on the screen. Make sure you receive the response 'GLOB REQUESTED'.

D. The present topical global change programs can only be used to change headings in the 'a' and succeeding subfields. Subject subdivisions alone cannot be searched and changed at this time unless the authority record input includes the subject heading and subdivision.

E. Special care must be taken in changing subjects for which the order of geographic subdivision changes.

   EX: Old heading: Transportation planning (Indirect)
   New heading: Transportation (Indirect)--Planning

   1. Issue a global change to revise all headings under Transportation planning and its subdivisions to Transportation--Planning.

   2. After the revised records have been loaded and the new subject index has been generated, scan the subject guide screen for any headings which need to be changed to interpose the country between the main heading and the subdivision.

   3. Correct the records or issue global changes for specific geographic areas based on the number of records found per heading.

F. Global change programs cannot be used to correct headings for a subject which has split into 2 new subjects. These will need to be reviewed individually.

V. Geographic Names.

A. Bibliographic record fields changed by the geographic global change programs are subfield 'a' of fields 651, 691 and subfield 'z' of fields 600, 610, 611, 630, 650, 651, 655, 690, 691, 692, 693, 694, and 695. These fields are only checked if the second indicator is 0 indicating a Library of Congress heading.

B. Create an online authority record for the subject if none exists.

1. The valid geographic name should appear in the 151 field.

2. All variant forms of the field existing in the database must be represented in 451 fields. Examples of some of the types of variations requiring 451 fields are listed below:

a. Variations in punctuation
b. Variations in capitalization
c. Variations in diacritics
d. Variations in qualifier

3. Make sure all 451 fields representing variants to be searched and changed in the bibliographic file have 'a' or 'e' in the third position in subfield 'w'.

4. Procedures for changes to first order political divisions (countries, states, etc.)

a. Add a 690 field to the authority record with 'GLOB ISSUED', the date, and your initials.

EX: 690: :GLOB ISSUED:11/15/85:jf

b. Issue a global change command by typing LTWU GLOB at home position with the authority record displayed on the screen. Make sure you receive the response 'GLOB REQUESTED'.

5. Procedures for changes to cities and areas to have indirect subdivision.

a. The global change programs for cities change the city in subfield 'a' and also in subfield 'z'. The programs also change the geographic subdivision from direct to indirect if it is not already indirect.

b. If no name change is involved other than the addition or deletion of a qualifier, the first 690 field must have a special processing code to indicate the change involves a city. The correct format for the indirect subdivision is also necessary. The 690 field should have 'city' in subfield 'i' followed by the correct indirect form of the city in two 'z' subfields.

EX: 151: 0: Athens (Greece)
451: 0: ǂw nnaa ǂa Athens
690/1: : ǂi city ǂz Greece ǂz Athens.

c. If a name change is involved, the first 690 field must have "city name change" in subfield "n" instead of using subfield "i". An additional 451 field with the old indirect form is also necessary.

Ex. 151: 0: Saint Louis (Mo.)
451: 0: ǂw nnaa ǂa St. Louis
451: 0: ǂw nnaa ǂa Saint Louis
451: 0: ǂw nnaa ǂz Missouri ǂz St. Louis
690/1: : ǂn city name change ǂz Missouri ǂz Saint Louis

d. Add a 690 field to the authority record with 'GLOB ISSUED', the date, and your initials.

EX: 690: :GLOB ISSUED:11/15/85;jf

e. Issue a global change command by typing LTWU GLOB at home position with the authority record displayed on the screen. Make sure you receive the response 'GLOB REQUESTED'.

C. The geographic global change programs will change geographic names incorrectly tagged as 650 to 651.

D. Geographic names in phrases such as 'West in Art' will not be changed if a global change to the geographic name is issued (West to West (U.S.)). These can be individually edited or a global change can be issued for the specific phrase.

E. Metropolitan areas of cities will not be changed by the global change for the city proper. These can be individually edited or a separate global change can be issued for the metropolitan area.

VI. Verification of Changes and Problem Resolution

A. The changed bibliographic records are loaded into a temporary file for examination before the permanent record is rewritten. Various checking of these records is done either through scanning the indexes or examining printouts of potential problems identified by the programs.

B. Records should not be corrected in the temporary file. Wait until the permanent record is written to correct errors and edit missed records.

C. After the records have been rewritten and the new indexes have been generated, the following checking should be done.

1. Search the old heading in the author/title and subject indexes. Examine any records that were not changed. If the reason the record was missed is clear, correct the record. If the reason the record was missed is not clear, consult the Senior Catalog Librarian, Catalog Management Unit.

2. Search under the new heading in the author/title and subject indexes. Examine any records that look incorrect in the index. If the reason the record is incorrect is clear, correct the record. If the reason the record is incorrect is not clear, consult the Senior Catalog Librarian, Catalog Management Unit.

3. Correct any records which have problems identified by the global change programs. Printouts of the NOTIS keys for these records will be provided.

4. Records revised in the permanent file during the time the global change programs were running will not have the global change made. These records will need to be individually edited. Printouts of the NOTIS keys for these records will be provided.

D. Make any necessary changes to the NOTIS authority record.

Delete extra 4xx fields which were included in the record only for the purpose of the global change. These fields could be variations in punctuation, capitalization, etc.

Washington
WASHINGTON·UNIVERSITY·IN·ST·LOUIS

DISTRIBUTION: A-C, G, L-M, P-U

PROCEDURES FOR MODIFICATION OF LCSH RECORDS

LCSH records are now in the authority file and updates are being added monthly. We need to be able to identify headings which we have used in bibliographic records and we also need to be able to identify LCSH records which we have modified so they do not get automatically replaced by corrected LCSH records losing any local modifications. We need to keep modification of LCSH records to a minimum because of the cost of maintaining the local modifications as changes occur. There are 2 main reasons for modifying LCSH records however.

1. The first and most common will be when we combine an LCSH record and a name authority record for the same heading.

   a. If the LCSH record is already loaded, modify it based on the procedures COMBINING DUPLICATE AUTHORITY RECORDS FOR THE SAME HEADING (1/20/88). The cataloger should modify the existing record and give a copy of the original and updated records to the catalog librarian responsible for authorities for review.

   b. The presence of the subfield ǂc in the 690 will indicate that the LCSH record has been combined. It is not necessary to also add a subfield ǂm as outlined below.

2. The second reason for modifying an LCSH record is to add additional cross references.

   a. Add any additional 4xx or 5xx fields as outlined below.

      1) Consult the Subject Cataloging Manual for information on the formation of 4xx (Section H373) and 5xx (Section H370) fields.

      2) Add a 4xx field from an unused term after searching to make sure the term has not been used with some other meaning in LCSH.

      3) 5xx fields should normally be made to a given subject heading only from the next broader heading or a related heading.

   b. All additions should be approved by the Catalog Librarian responsible for LCSH.

   c. Add a 690 field with ǂm mod to indicate the record has been modified. In a second "m" subfield indicate which fields have been locally added or modified (including the addition of subfield "w"). Give the tag and repeat number (i.e. 450/3;550/1). If the only change to the record is to add the GLOB message in a 690 field, add another 690 with ǂm mod ǂm GLOB.

3. If an LCSH record which has been modified is revised, be sure the fields listed in the 690 field are renumbered if necessary. For instance, if the first 450 field is deleted, 450/3 in the example in 2b above needs to be changed to 450/2.

4. Since we do not have a 690 with cataloger's/inputter's initials, it is not necessary to add one to put the reviser's initials.

pmlr881.219

PROCEDURES FOR PROCESSING UPDATES TO LCSH

LCSH update tapes are received weekly and loaded into the authority file monthly. 3 reports are generated as part of this load process. This procedure outlines the steps to be taken in processing these reports.

I. Deletion Report

A. The first type of listing on this report is for records which are BEing deleted. The format of the entries is "85130561 FOR LAN9996 BEING DELETED". The program sets the status on the existing record to "nD".

1. Retrieve the record by NOTIS key or LCSH number.

2. If the record is for a subdivision (SUBJ=b), no further work is needed. LC is deleting many records for subdivisions even though the subdivision may still be valid.

3. If the record is not for a subdivision, search in the subject index to see if the heading has been used. For geographic headings, also do a keyword search.

a. If the heading hasn't been used in our database, no further work is needed.

b. If the heading has been used, search the authority file to determine what the new heading should be. Correct the bibliographic records or add the heading to the GLOBAL CHANGE folder. If no new LCSH record is found, check the LC name authority file on OCLC. Records in LCSH for computer programs are being deleted because they are now part of the LC name authority file. This is also sometimes true for personal, corporate, or geographic names.

B. The second type of listing on this report is for records input locally in the "WU" processing unit which have been corrected. These entries have the format "AAB1538 FOR 85097158 LCSH CORRECTION FOR WU RECORD, CHECK NAME INDEX". These should be geographic, personal, or corporate headings for which we have combined a LC name authority record with an LCSH record.

1. Check the keyword index to determine records which need to be corrected. Using the subject index alone will not retrieve the heading used as a geographic subdivision.

2. Correct the bibliographic records or add the heading to the GLOBAL CHANGE folder. If a global change is required, mark the printout as geographic.

3. Choose the best authority record for the heading correcting it as necessary. Be sure the corrected authority record has a 690 field with "|c combined" or "|m mod". Both authority keys will be listed on the report. Disable the authority record which is not being kept.

II. Corrections Report

A. The first type of listing on this report is for LCSH records which have been claimed for WU and subsequently corrected in a field other than the 15x field. The format for these entries is "CORRECTION FOR LAJ7014 WHICH HAS BEEN CLAIMED AND WILL BE REPLACED". These entries can be ignored.

B. The second type of listing is for LCSH records which have been claimed and subsequently corrected in the 15x field. The format for these entries is "RECORD CLAIMED, LAM2029 15X FIELD FOR CORRECTION RECORD DID NOT MATCH, NEW CORRECTED RECORD IS LAT2983".

1. Disable the original record for the incorrect heading.

2. Correct any bibliographic records under the old heading or add the heading to the GLOBAL CHANGE folder.

3. Search the name authority index under the old form of heading and see if it has been used as a 5xx field in other records.

a. If a record in which the old heading has been used is disabled, no further attention is needed.

b. If a record in which the old heading has been used is not disabled, make a print out of the record and check if it has been corrected after the next LCSH update load.

III. Report of 4xx Fields Used in the Subject Index

A. This report lists all 4xx fields from new or corrected records which match a heading in the subject index. The exact number of headings will be given is over 10 headings need to be changed. Occasionally the number will be incorrect but you can ignore this. Other headings will have the notation "LESS THAN 10 FOR ROADS -PLANNING".

B. Cross off any headings on the list which you know have been previously identified but not yet changed. You can tell this by comparing the heading on the list against the global changes which have not yet been made (including subdivisions) and any lists from previous LCSH loads which have not been completed.

C. Search the authority file to determine the correct heading and mark it on the print out. Prepare a print out of the record for the GLOBAL CHANGES box for any large changes and cross the heading off the list.

D. When all of the headings have been searched, search the subject index (and keyword index for geographic names) and correct the bibliographic records as necessary.

lcupdt89.119

AUTHORITY WORKFORMS

University of Kansas

SERIES AUTHORITY RECORD WORKFORM

AUTHORITY #: Orig: Mod: Coded by: Date:
Type: s Rec Stat: Input by: Date:
Proof by: Date:

ISSN no. 022

Call no. 0__
Call no. 0__

Established Heading 1__ __ 8

See From 4__ __
Ref 4__ __
4__ __

See also From 5__

Date pub./ vol. desig. 640 _ ǂ

Numbering Peculiar. 641 ǂ ǂ

Form of no. in tracing 642 ǂ ǂ Applies to:

Place/ Publisher 643 ǂ ǂ

Analysis 644	Tracing 645	Classification 646
f in full	t traced	s separate
p in part	n not traced	c collection
n not analyzed		m with main seri
Applies to:	Applies to:	Applies to:

Analysis 644	Tracing 645	Classification 646
f in full	t traced	s separate
p in part	n not traced	c collection
n not analyzed		m with main seri
Applies to:	Applies to:	Applies to:

Local Notes 985
989
989
989 Source:

Comments

University of Kansas

AUTHORITY RECORD WORKFORM

AUTH:	Orig:	Mod:			Coded by:	Date:
	Rec stat:	Entrd:		Used:	Input by:	Date:
Type:	Geo subd:	Covt agn:	Lang:	Source:	Proof by:	Date:
Roman:	Subj:	Series:	Ser num:	Head:		
Ref status:	Upd status:	Auth status:		Name:		
Enc lvl:	Auth ref:	Mod rec:		Rules:		

LC NAF 010

Established Heading 1__ ___

General Explanatory See Ref 260 ♭ ♭

General Explanatory See Also Ref 360 ♭ ♭

See From Ref
4__ __
4__ __
4__ __
4__ __
4__ __

See Also From Ref
5__ _____
5__ _____
5__ _____

Scope Notes (Subjects) 680 ♭ ♭

Local Notes
9__ ♭ ♭
9__ ♭ ♭
9__ ♭ ♭

Comments (problems, conflicts, etc.):

National Library of Canada | Bibliothèque nationale du Canada

Canada

DOBIS AUTHORITY WORKSHEET

BORDEREAU D'AUTORITÉ DE DOBIS

Init	Date

AUTHORITY CONTROL NO. — N° DE CONTRÔLE D'AUTORITÉ

Type	NLC BNC	$a	DOBIS Authority Number Numéro DOBIS d'autorité

FIXED FIELDS — ZONES FIXES

1 Status of Heading Statut de la vedette	2 Encoding Level Niveau d'intégralité	3 Record Status Statut de la notice

4 Auth. Ref. Record Descriptor Descripteur de la notice	5 Record Update in Process Notice en cours de révision

6 Status of References Statut des renvois	7 Modified Record Ind. Ind. notice modifiée	8 Cataloguing Source Source de catalogage

NAME — NOM

Control Information Information de contrôle	NAMES NOMS	1 Rules Règles	2 Romanization Scheme Système de romanisation

3 Govt Agency Org. gouvernemental	4 Conf./Meeting Congrès/réunion	5 Non-unique Name Vedettes d'homonymes

Name Type Type de nom	Language of Permutation Langue-permutation	Lang. of Access Point Langue-point d'accès	

$a

TITLE — TITRE

Control Information Information de contrôle	TITLES TITRES	1 Rules Règles	2 Romanization Scheme Système de romanisation

Title Type Type de titre	Language of Permutation Langue-permutation	Lang. of Access Point Langue-point d'accès	Skip in Filing Sauter en class.

$a

NOTES

Cat. Source — Source cat.

$a	$b	$c	$d	Auth. Centre Agent de cert. $anlc

TYPE	Note/Text — Note/Texte

NOTES (cont'd) — NOTES (suite)

TYPE	NOTE/TEXT — NOTE/TEXTE

CROSS REFERENCES — RENVOIS

Linkage Type / Type de lien | Formerly Established Heading / Vedette établie antér | Earlier Cat. Rules / Règles antér. de cat.

Print Constants / Constante d'imp. | Reference Generation / Produit de renvoi | DAN / NAD

Name/Title Type / Type de nom/titre | Language of Permutation / Langue-permutation | Lang. of Access Point / Langue-point d'accès | Skip in Filing / Sauter en class.

$a

Linkage Type / Type de lien | Formerly Established Heading / Vedette établie antér | Earlier Cat. Rules / Règles antér. de cat.

Print Constants / Constante d'imp. | Reference Generation / Produit de renvoi | DAN / NAD

Name/Title Type / Type de nom/titre | Language of Permutation / Langue-permutation | Lang. of Access Point / Langue-point d'accès | Skip in Filing / Sauter en class.

$a

Linkage Type / Type de lien | Formerly Established Heading / Vedette établie antér | Earlier Cat. Rules / Règles antér. de cat.

Print Constants / Constante d'imp. | Reference Generation / Produit de renvoi | DAN / NAD

Name/Title Type / Type de nom/titre | Language of Permutation / Langue-permutation | Lang. of Access Point / Langue-point d'accès | Skip in Filing / Sauter en class.

$a

Linkage Type / Type de lien | Formerly Established Heading / Vedette établie antér | Earlier Cat. Rules / Règles antér. de cat.

Print Constants / Constante d'imp. | Reference Generation / Produit de renvoi | DAN / NAD

Name/Title Type / Type de nom/titre | Language of Permutation / Langue-permutation | Lang. of Access Point / Langue-point d'accès | Skip in Filing / Sauter en class.

$a

SERIES UNIFORM TITLE AUTHORITY RECORD

University of New Mexic

ARN:

001 n

Rec status:
Lang:
Head:
Enc lvl:
Auth status:
Auth/ref:

Geo subd:
Source:
Ser num: a numbered
b unnumbered
c numbering varies

Govt agn:
Series: a monographic series
b multipart item
c series-like phrase

Date:

LCCN
010 ♭♭

ISSN 022 ♭♭

090

Heading: 130

640 _ ♭ Date of pub./vol. designation

641 ♭♭ Numbering pecularities note

642 ♭♭ Series numbering example

643 ♭♭ Place and publisher

644 ♭♭ Analysis practice
f in full
p in part
n not analyzed
#d applies to:

#d vol./dates applies to:

644 ♭♭ Analysis practice
f in full
p in part
n not analyzed
#d applies to:

643 ♭♭ Place and publisher

#d applies to:

645 ♭♭ Tracing practice
t traced
n untraced

#d applies to:

646 ♭♭ Classification practice
c collection
m with main series
s separately
#d applies to:

645 ♭♭ Tracing practice
t traced
n untraced

#d applies to:

646 ♭♭ Classification practice
c collection
m with main series
s separately
#d applies to:

670 ♭♭ Source data found

675 bb Source data not found

667 bb Notes

678 bb Date/initials

Catalogs to which refs. apply	SEARCH UNDER references
	4 _ _
	4 _ _
	4 _ _
	4 _ _
	SEARCH ALSO UNDER references
	5 _ _
	5 _ _
	5 _ _
	5 _ _

Edited	Notes (for the use of inputters, typists, and reviewers only)
Input	
Typed	
Reviewed	

NAME/SUBJECT AUTHORITY RECORD University of New Mexico

ARN:	Rec status: Geo subd: Govt agn: Date: Lang: Source: Head: Auth status: Name: Enc lvl: Auth/ref: Subj:
001 n	
LCCN 010	Heading: 100___Personal name 110___Corporate 111___Conference 150___Subject 151___Geographic name
ISBN 020	
Call no. 090	665 ǂǂ History reference
	666 ǂǂ General explanatory reference

667 ǂǂ Scope note or name usage

670 ǂǂ Source data found

675 ǂǂ Source data not found

678 Date/ initials

680 ǂǂ Subject scope note

Catalogs to which refs. apply	SEARCH UNDER references
	4 _ _
	4 _ _
	4 _ _
	4 _ _
	SEARCH ALSO UNDER references 5 _ _
	5 _ _
	5 _ _
	5 _ _

Edited	Notes (for the use of inputters, typists, and reviewers only)
Input	
Typed	
Reviewed	

HAF: MONOGRAPH CATALOGING SECTION

FIXED FIELD

008 HU FMT: A ENCL: h C/DT: XXXXXX U/DT: XXXXXX STAT: n TYPE: z CHK: X
UTIL: o BIBUSE: CATSRC:___CODE: c A/T:___SUBJ:___U/STAT: a
NAME:___SUBCOD: n D/T: SER: SERCOD: SERNUM: H/REF: a
GOVT: A/STAT: a EVAL: LANG: ROM: MODREC:

LC NO.

010:__ __:nb♦♦__ __ __ __ __ __ __ __ __♦

HEADING

1__ __:__ __:

SEE REFS

4__ __:__ __:

SEE ALSO REFS

5__ __:__ __:

OTHER FIELDS

950:__ __:

5/86

HARVARD COLLEGE LIBRARY

AUTHOR SERIES AUTHORITY
WIDENER CATALOGING DEPARTMENT

FIXED FIELD

008 HU FMT: A ENCL: h C/DT: U/DT: STAT: n TYPE: z CHK:
UTIL: o BIBUSE: CATSRC: d CODE: c A/T: y SUBJ: a U/STAT: a
NAME: SUBCOD: n D/I: SER: a SERCOD: b SERNUM: H/REF: a
GOVT: A/STAT: a EVAL: LANG: ROM: MODREC:

LC NO. 010: :nbb_ _ _ _ _ _ _ _ _
ISSN 022: :_ _ _ _ – _ _ _ _
CALL NO. 050 (090, 099)

HEADING

1_ _:_ _:_ _:

SEE REFS

4_ _:_ _:_ _:

SEE ALSO REFS

5_ _:_ _:_ _:

SER NO. 642: :
PLACE, PUB. 643: :
ANAL. 644: : f ǂ5 wid
TRACING 645: : t n ǂd Items cataloged after ǂ5 wid
CLASSIF. 646: : s ǂ5 wid

ANAL REC.NO. 969: :

10/87

110

SYSTEM REPORTS

UNIVERSITY OF
CINCINNATI LIBRARIES

Authscan/Keyscan Report
Explanation of the Categories found on the following pages:

AUTHORITY RECORDS READ - The number of authority records in the database, before running AUTHSCAN.

ORPHAN HEADINGS DELETED - AUTHSCAN deletes authority records that contain no notes or cross-references, and are also not linked to any bibliographic record.

NET NUMBER OF AUTHORITY RECORDS - The number of authority records in the database after deleting the orphan headings.

TOTAL SEE REFERENCES - A subtotal of the Net Number of Authority Records, these are authority records for invalid forms, containing a see-reference to the valid form.

GROWTH IN THE NET NUMBER OF AUTHORITY RECORDS
Authority Records are contributed to the database (in roughly descending order of frequency) from downloaded bibliographic records, bibliographic records loaded from tape, see-references and see also references added to existing authority records, bibliographic records edited in the workfiles and direct input of authority records.

GROWTH IN THE TOTAL NUMBER OF SEE REFERENCES - This figure is a subtotal of the figure above it, namely the growth of the net number of authority records. See-Reference authority records are added to the database from staff editing of authority records.

BREAKDOWN BY TYPE OF AUTHORITY RECORDS - The rest of the statistics on the first page of the Authscan Report show the numbers and growth of authority records by type of heading, followed by a subtotal of the number of see reference records.

ERRORS REPORTED BY AUTHSCAN: "Dangling Bib Records" are records still linked to the "ghost" of an authority record that has been deleted (or merged with a different authority record). These bibliographic records are easily cleaned up by running them through the daily VRO batch process. "See-references used by Bibs" are invalid authority authority records used by bibliographic records. These bibliographic records are also cleaned up by running them through the daily VRO batch process. The Systems Office has been performing this clean up task.

KEYSCAN REPORT - Keyscan deletes key records (for subfields or keywords) no longer used in the database.

RUN TIME AND CPU TIME - The Run Time is the total amount of time the jobs took to complete. CPU Time is the total amount of time the computer or CPU was actually processing the job. We are not charged for run time or CPU Time currently.

LN 2/89

(Authscan was run on 7/3/88 and on 1/21/89.)

	7/03/88	1/21/89	GROWTH
AUTHORITY RECORDS READ	1245473	1276155	
ORPHAN AUTHORITY RECORDS DELETED	1324	3107	
NET NUMBER OF AUTHORITY RECORDS	1244149	1273048	+28899
TOTAL SEE REFERENCES (does not include see also references or notes)	82236	90860	+8624

The following statistics show a breakdown by each TYPE of authority record, followed by a SUBTOTAL of See-Reference records. GROWTH is the NET growth for the period from 10/02/87 to 7/03/88.

--- **AUTHORS** ---

	7/03/88	1/21/89	GROWTH
PERSONAL_AUTHOR RECORDS	542999	559280	+16281
PERSONAL_AUTHOR_SEEREF RECORDS	14279	17559	+3280
CORP_CONF_AUTHOR RECORDS	99220	102001	+2781
CORP_CONF_AUTHOR_SEEREF RECORDS	10193	11513	+1320
UNIFORM_TITLE_AUTHOR RECORDS	10472	10767	+295
UNIFORM_TITLE_AUTHOR_SEEREF RECORDS	120	167	+47
PERSON_SERIES_AUTHOR RECORDS	1119	1204	+85
PERSON_SERIES_AUTHOR_SEEREF RECORDS	2	25	+23
CORP_CONF_SERIES_AUTH RECORDS	11006	10503	-503
CORP_CONF_SERIES_AUTH_SEEREF RECORDS	101	119	+18
UNKNOWN AUTHOR TYPE RECORDS	6	8	+2
AUTHOR RECORDS (ALL TYPES)	664822	683763	+18941
AUTHOR SEEREF RECORDS (ALL TYPES)	24701	29389	+4688

--- **SUBJECTS** ---

	7/03/88	1/21/89	GROWTH
PERSONAL_SUBJECT RECORDS	66242	68951	+2709
PERSONAL_SUBJECT_SEEREF RECORDS	4604	6057	+1453
CORP_CONF_SUBJECT RECORDS	27565	29027	+1462
CORP_CONF_SUBJECT_SEEREF RECORDS	4274	4951	+677
UNIFORM_TITLE_SUBJECT RECORDS	4613	4686	+73
UNIFORM_TITLE_SUBJECT_SEEREF RECORDS	203	240	+37
TOPICAL_SUBJECT RECORDS	387389	391561	+4172
TOPICAL_SUBJECT_SEEREF RECORDS	45285	45650	+365
GEOGRAPHIC_SUBJECT RECORDS	56082	55793	-289
GEOGRAPHIC_SUBJECT_SEEREF RECORDS	1867	2026	+159
UNKNOWN SUBJECT TYPE RECORDS	1	3	+2
SUBJECT RECORDS (ALL TYPES)	541892	550021	+8129
SUBJECT SEEREF RECORDS (ALL TYPES)	56234	58925	+2691

UNIVERSITY OF
CINCINNATI LIBRARIES

--- SERIES ---

	7/03/88	1/21/89	GROWTH
TITLE-SERIES RECORDS	37435	39264	+1829
TITLE-SERIES SEEREF RECORDS	1301	2546	+1245

ERRORS REPORTED BY AUTHSCAN:

	7/3/88	1/21/89
DANGLING BIB RECORDS	7	22
USED DELETED AUTHORITY RECORDS	6	22
SEE REFERENCES USED BY BIBS	149	113
BIBS USING SEE REFERENCES	652	586

KEYSCAN REPORT

(Keyscan/Keydel was not run on 7/3/88.)
(Keyscan/Keydel was run on 1/22 - 1/23/89.)

	1/23/89
NO. OF KEY ISNS SEARCHED	3848160
NO. OF ACTUAL KEY RECORDS	1191215
NO. OF UNUSED (DELETED) KEYS	11640
NET NO. OF KEY RECORDS	1179575

RUN TIME AND CPU TIME

	JULY 88	JAN. 89
- Total Run Time --		
Authscan:	18 hours, 40 min.	20 hours, 17 min.
Keyscan:	------	13 hours, 36 min.
- Total CPU Time --		
Authscan:	2 hours, 24 min.	2 hours, 27 min.
Keyscan:	------	1 hour, 57 min.

LN 2/89

CEDIT WORKSPACE PRINT - USER LINDA. TID 121
LIBRARY NC MEMBER FY88SUMM 1/09/89 15:21 PAGE

Growth of the UCLID Database
Between 7/07/88 and 1/05/89

	7/07/88	1/05/89	Net Growth
Bibliographic File	859,484	879,077	+19,593
Authority File	1,245,655	1,274,374	+28,719
Key File	1,157,908	1,189,255	+31,347
Summary Holdings File	965,976	999,730	+33,754
Piece Holdings File	1,198,576	1,243,068	+44,492
Work File**	962	1096	+134

** The number of records in the Work File is dynamic, daily increasing or decreasing depending on editing activity. For example, as of 1/09/89 at approximately 2:30 pm, records in the workfiles tallied as follows

Bib Records rejected by a Database Load	417
Bib or Authority Records being Changed or Deleted	169
Bib or Authority Records being Created	19
Total	605

UNIVERSITY OF KANSAS -- LAWRENCE CAMPUS
LIBRARY CATALOG SYSTEM REPORT - OCLC UPDATE
CHANGED AUTHORITY FIELDS

NEW FORM: 1 ‡aState University of New York at Binghamton‡bUniversity Art Gallery.

******** Please review this field ********
OCLC NUMBER 00149967 ORIGINAL: ‡aCivil service pensions‡zNew York (State)
NEW FORM: ‡aCivil service‡xPensions‡zNew York (State)

******** Please review this field ********
OCLC NUMBER 00145493 ORIGINAL: ‡aNegroes‡zSouthern States.
NEW FORM: ‡aAfro-Americans‡zSouthern States.

******** Please review this field ********
OCLC NUMBER 00145493 ORIGINAL: ‡aNegroes‡xSocial conditions‡yTo 1964.
NEW FORM: ‡aAfro-Americans‡xSocial conditions‡yTo 1964.

OCLC NUMBER 00143572 ORIGINAL: ‡aPension trusts‡zU.S.
NEW FORM: ‡aPension trusts‡zUnited States.

OCLC NUMBER 00142597 ORIGINAL: ‡aU.S.‡xSocial policy‡xAddresses, essays, lectures.
NEW FORM: ‡aUnited States‡xSocial policy‡xAddresses, essays, lectures.

OCLC NUMBER 00140828 ORIGINAL: 1 ‡aTexas.‡bUniversity at Austin.‡bBureau of Economic Geology.
NEW FORM: 1 ‡aUniversity of Texas at Austin‡bBureau of Economic Geology.

OCLC NUMBER 00140828 ORIGINAL: ‡aPetroleum‡xGeology‡zU.S.‡xCongresses.
NEW FORM: ‡aPetroleum‡xGeology‡zUnited States‡xCongresses.

OCLC NUMBER 00140828 ORIGINAL: ‡aGas, Natural‡xGeology‡zU.S.‡xCongresses.
NEW FORM: ‡aGas, Natural‡xGeology‡zUnited States‡xCongresses.

OCLC NUMBER 00105541 ORIGINAL: ‡aChinese in the United States.
NEW FORM: ‡aChinese‡zUnited States.

OCLC NUMBER 00097536 ORIGINAL: ‡aSects‡zU.S.
NEW FORM: ‡aSects‡zUnited States.

OCLC NUMBER 00090152 ORIGINAL: ‡aU.S.‡xEconomic conditions.
NEW FORM: ‡aUnited States‡xEconomic conditions.

OCLC NUMBER 00086690 ORIGINAL: ‡aEconomic assistance, Domestic‡zU.S.
NEW FORM: ‡aEconomic assistance, Domestic‡zUnited States.

OCLC NUMBER 00083113 ORIGINAL: ‡aArt, Industries and trade‡zNagaland, India.

UNIVERSITY OF KANSAS — LAWRENCE CAMPUS
LIBRARY CATALOG SYSTEM REPORT - OCLC UPDATE
AUTHORITY CONVERSIONS PERFORMED BY 400 FIELDS WITHOUT DATE SUBFIELDS

	TO AUTH RECORD:	1 ‡aWindley, B. F.‡q(Brian F.)
OCLC NUMBER 01583019	FIELD CONVERTED:	1 ‡aDessaur, C. I.
	TO AUTH RECORD:	10‡aHurnier, Andreas.
OCLC NUMBER 01529307	FIELD CONVERTED:	1 ‡aBridges, James Wilfred.
	TO AUTH RECORD:	1 ‡aBridges, J. W.‡q(James Wilfred)
OCLC NUMBER 01499730	FIELD CONVERTED:	1 ‡aCorner, Edred John Henry.
	TO AUTH RECORD:	10‡aCorner, E. J. H.‡q(Edred John Henry)
OCLC NUMBER 01302932	FIELD CONVERTED:	1 ‡aSilver, Ann.
	TO AUTH RECORD:	1 ‡aSilver, A.‡q(Ann)
OCLC NUMBER 01244108	FIELD CONVERTED:	1 ‡aBarnhart, Marion Isabel,‡d1921-
	TO AUTH RECORD:	10‡aBarnhart, Marion I.
OCLC NUMBER 01202925	FIELD CONVERTED:	1 ‡aWilliams, William David.
	TO AUTH RECORD:	1 ‡aWilliams, W. D.‡q(Willian David)
OCLC NUMBER 01196102	FIELD CONVERTED:	1 ‡aJames, Robert Clarke.
	TO AUTH RECORD:	1 ‡aJames, Robert C.‡q(Robert Clarke)
OCLC NUMBER 01194980	FIELD CONVERTED:	20‡aMorris, Colin John Owen Rhonabwy.
	TO AUTH RECORD:	1 ‡aMorris, C. J. O. R.‡q(Colin John Owen Rhonabwy)
OCLC NUMBER 01092227	FIELD CONVERTED:	1 ‡aRichards, William Graham.
	TO AUTH RECORD:	1 ‡aRichards, W. C.‡q(Willian Graham)
OCLC NUMBER 01032586	FIELD CONVERTED:	1 ‡aPichot, Pierre,‡d1918-
	TO AUTH RECORD:	10‡aPichot, Pierre.
OCLC NUMBER 01022930	FIELD CONVERTED:	1 ‡aHansen, Nancy.
	TO AUTH RECORD:	10‡aHansen, Nancy V. A.
OCLC NUMBER 00902996	FIELD CONVERTED:	1 ‡aSchl˜under, E. U.
	TO AUTH RECORD:	1 ‡aSchl˜under, Ernst U.
OCLC NUMBER 00750771	FIELD CONVERTED:	1 ‡aTipper, Charles Frank Howlett.
	TO AUTH RECORD:	10‡aTipper, C. F. H.‡q(Charles Frank Howlett).
OCLC NUMBER 00581759	FIELD CONVERTED:	1 ‡aSedl´a˜cek, Blahoslav.
	TO AUTH RECORD:	1 ‡aSedl´a˜cek, B.‡q(Blahoslav)
OCLC NUMBER 00457084	FIELD CONVERTED:	1 ‡aTipper, Charles Frank Howlett.
	TO AUTH RECORD:	10‡aTipper, C. F. H.‡q(Charles Frank Howlett).
OCLC NUMBER 00201246	FIELD CONVERTED:	1 ‡aDodwell, Charles Reginald.
	TO AUTH RECORD:	10‡aDodwell, C. R.‡q(Charles Reginald)
OCLC NUMBER 00011609	FIELD CONVERTED:	1 ‡aNoble, Benjamin.
	TO AUTH RECORD:	10‡aNoble, Ben.

UNIVERSITY OF KANSAS -- LAWRENCE CAMPUS
LIBRARY CATALOG SYSTEM REPORT - OCLC UPDATE
AUTHORITY RECORDS CREATED BY OCLC UPDATE

100 TAGGED FIELDS, NON-AACR2

AUTHORITY RECORD NUMBER	TEXT OF AUTHORITY RECORD
802086 M 1 1	‡a Dietz, Robert Sinclair, ‡d 1914-
802253 M 1 1	‡a Dolbear, Samuel Wood, ‡d 1886-
801712 M 1 1	‡a Doukan, Gilbert. ‡t D'ecouvertes sous-marines modernes.
801515 M 1 1	‡a Drexl, Franz, ‡d 1885- , ‡c ed.
FOLLOWING RECORD HAD A SEARCH KEY MATCH WITH ONE OR MORE EXISTING AUTHORITY RECORDS.	
801825 M 1 1	‡a Du Toit, Alexander Logie, ‡d 1878-1948.
801589 M 1 1	‡a Dulong, Marthe.
801740 M 1 1	‡a Dutton, Carl Evans, ‡d 1904-
801619 M 2 1	‡a Eardley-Wilmot, Vere Levinge, ‡d 1886-
801728 M 1 1	‡a Edelin, Ramona.
801604 M 1 1	‡a Edwards, William Seymour, ‡d 1856-
801500 M 1 1	‡a Eggers, Heinz.
802245 M 1 1	‡a Einsiedel, Wolfgang von, ‡d 1903-
802174 M 1 1	‡a Ekman, Leonard C.
801941 M 1 1	‡a Elcock, E. W.
801590 M 1 1	‡a Elgie, Joseph Henry.
801799 M 1 1	‡a Elkan, Albert, ‡d 1879-
801656 M 1 1	‡a Elles, Gertrude Lilian.
802182 M 1 1	‡a Engeln, Oscar Diedrich von, ‡d 1880-

Figure 1:
The ACORN Bibliographic and Authority Files

Bibliographic File Composition	Number of Records
Original Bibliolographic File (May 1985)	500,000
"Catch-up" tape	55,000
Microcon Tapeload	250,000
Balance added on-line	95,000
TOTAL NUMBER OF BIBLIOGRAPHIC RECORDS	900,000

Authority File Composition	Number of Records
Blackwell North America Tapeload	401,000
LCSH Subject Headings	141,000
New Records Added On-Line (inputs and transfers, no overlays)	18,000
TOTAL AUTHORITY RECORD SLOTS	560,000

SELECTED READINGS

SELECTED READING LIST

Auld, Larry. "Authority Control: An Eighty-year Review." Library Resources & Technical Services 26 (October/December 1982): 319-330.

Authority Control: The Key to Tomorrow's Catalog. Phoenix, Arizona: Oryx Press, 1982.

Baer, Nadine L. and Karl E. Johnson. "The State of Authority." Information Technology and Libraries 7 (June 1988): 139-153.

Burger, Robert H. Authority Work: The Creation, Use, Maintenance, and Evaluation of Authority Records and Files. Littleton, Colorado: Libraries Unlimited, 1985.

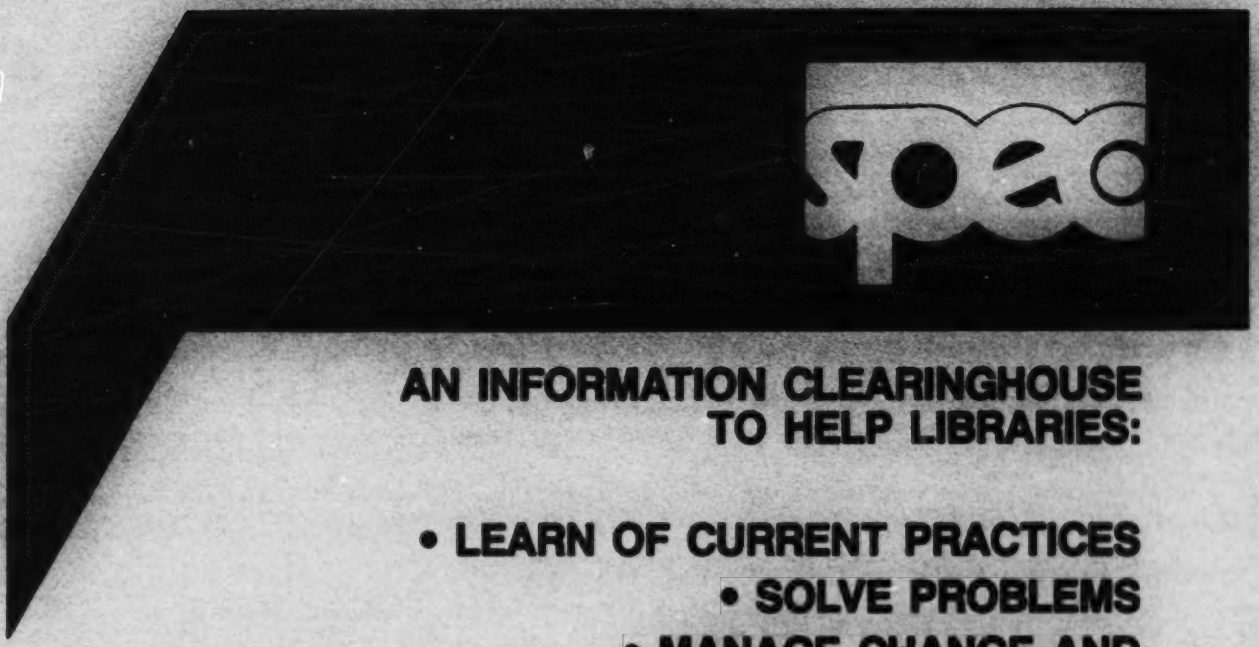
Grady, Agnes M. "Online Maintenance Features of Authority Files: Survey of Vendors and In-house Systems." Information Technology and Libraries 7 (March 1988): 51-55.

Malinconico, S. Michael. "Bibliographic Data Base Organization and Authority File Control." Wilson Library Bulletin 54 (September 1979): 36-45.

Taylor, Arlene G., Margaret Maxwell, and Carolyn O. Frost. "Network and Vendor Authority Systems." Library Resources & Technical Services 29 (April 1985): 195-205.

What's in a Name? Control of Catalogue Records Through Automated Authority Files. Furuya, Natsuko Y., ed. Toronto: University of Toronto Library Automation Systems, 1978.

SYSTEMS AND PROCEDURES EXCHANGE CENTER



AN INFORMATION CLEARINGHOUSE TO HELP LIBRARIES:

- **LEARN OF CURRENT PRACTICES**
- **SOLVE PROBLEMS**
- **MANAGE CHANGE AND**
- **IMPROVE PERFORMANCE**

Association of Research Libraries
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